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ABSTRACT

Academic activities undertaken during 1981-1982 by member countries of the Organization of Educational Cooperation and Development are reported in 21 articles. The following topics are addressed: higher education in the international age, curriculum and teaching, reforms and innovations, open universities and adult education, and higher education during financially difficult times. Titles and authors include the following: "The Role of the University in International Understanding" (Michio Nagai); "Who Owns the University Curriculum?" (A. H. Halsey); "Pilot Institutes for Higher Education Reform in Korea" (Jeung Rhee); "Innovations in American Higher Education: Curriculum and Teaching" (Philip G. Altbach); "Improvements in College Teaching in the United Kingdom" (Roy Joseph Cox); "Reforms in Chinese Higher Education" (Cheng Su); "Innovation of Higher Education in Japan: The Case of the University of Tsukuba" (Sho Takakura); "Sukhothai Thammathirat--Thailand's Open University" (Iam Chaya Ngam); "Adult Learning in Japanese Higher Education" (Masakazu Yano); "Japanese Higher Education in an Age of Financial Difficulties" (Morikazu Ushiogi); and "Higher Education in the Age of Financial Difficulties" (Paul L. Dressel). (SW)

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Reports of the Hiroshima/OECD
Meetings of Experts

# COMPARATIVE APPROACHES TO HIGHER EDUCATION

– Curriculum, Teaching and Innovations in an Age of Financial Difficulties –

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1983
Research Institute for Higher Education
HIROSHIMA UNIVERSITY

## Preface

Since 1980, the research project: *A Comparative Study on Innovations in Higher Education – With special empasis on curriculum development and teaching methods*, has been executed by the Research Institute for Higher Education (R.I.H.E.), Hiroshima University. This project has been conducted as the Co-development activities of the OECD/Center for Educational Research and Innovation (CERI) with the purpose of focussing on cooperation and exchange of experiences among OECD Member participating countries.

This report: *Comparative Approaches to Higher Education – Curriculum, Teaching and Innovation in an Age of Financial Difficulties* is the record of the academic activities of the project during 1981-1982. Previous activities in 1980-1981 had been published as the reports of *Innovations in Higher Education – Exchange of Experiences and Ideas in International Perspectives*. Most of the papers printed in the present report were presentations read at the international seminars and academic meetings both in Hiroshima and Tokyo sponsored by Hiroshima University.

During 1981-1982, the following international seminars and meetings were held.

The 10th RIHE Annual Study Meeting in October, 1981 under the theme of *Teaching and Learning in the University*, both Dr. Philip G. Altbach (U.S.A.) and Dr. Roy J. Cox (U.K.) were invited to give lectures on curriculum and teaching based on their country's experience. About sixty participants attended and participated in the discussion about teaching problems in universities in the Hiroshima seminar. After that, the Tokyo seminar on *Innovation in Higher Education* was held in November, 1981. Dr. Altbach had the lecture about comparative university reform and Dr. Cox about the staff development in universities.

In January 1982, the International Hiroshima Seminar on Asian Higher Education was held, inviting the following guest speakers: Dr. Iam Chaya Ngam (Thailand), Dr. Myong Won Suhr (Republic of Korea), Dr. Cheng Su (People's Republic of China), Dr. Hisashi Shikibu (Japan) and Dr. Sho Takakura (Japan). They gave presentations on *Innovation in Higher Education in their Countries*. The foreign guests had also given open-lectures about *Open Universities* in their countries at Tokyo Seminar. In both Hiroshima and Tokyo Seminar, there

were more than fifty participants.

Both the 11th RIHE Annual Study Meeting with the topics of *Curriculum and Instruction in Higher Education* and the International Seminar on *Higher Education in the Age of Financial Difficulties* were held in both Hiroshima and Tokyo in November, 1982. Dr. A. H. Halsey (U.K.), Dr. Paul L. Dressel (U.S.A.), Dr. Jeung Rhee (Republic of Korea) and Dr. Morikazu Ushiogi (Japan) were invited as guest speakers. More than sixty participants were jointed and they discussed about the teaching and financial problems in each seminar.

OECD/CERI International Seminar *Adult Students – A Challenge for Universities* was held at Klagenfurt, Germany, in November, 1982. Prof. Masakazu Yano of the R.I.H.E. gave the presentation: *Adult Learning in Japanese Higher Education*.

Finally, Dr. Michio Nagai, our RIHE affiliated researcher, who was a former Minister of Education, Culture and Science and is now a senior advisor of the United Nations University, has kindly contributed the paper on *The Role of the University in International Understanding* for this volume.

I would like to express my sincere gratitude to all the participants who greatly contributed to the success of the seminars and meetings. I am also much obliged to all of the guest participants. I hope that this report will be effective in promoting studies on higher education and also helpful in solving some of important problems of higher education for the future.

September, 1983

Keiji Inaga
Research Institute for
Higher Education
Hiroshima University

# COMPARATIVE APPROACHES TO HIGHER EDUCATION

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# PART I

# HIGHER EDUCATION IN THE INTERNATIONAL AGE

# THE ROLE OF THE UNIVERSITY IN INTERNATIONAL UNDERSTANDING*

MICHIO NAGAI**

## I

Throughout its long history, the institution of the university has continued to affect the way people and nations interact. The exchange and spread of knowledge has always been one of the major forces of intercultural and international contact, and the traditional university provided a clearing house for scholars and scholarly achievements. Insofar as the way nations perceive each other depends on knowledge, information, and human contact, the university has had a vital role in international understanding, but today we are living in a world that forces us to reconsider what that role has been and perhaps to redefine it. The factor that imposes such a need is change – a rapid, in some areas radical, transformation that has left little untouched. Indeed, world history since 1945 has been the history of dramatic change. During the seventies, the pace of change quickened a step or two, and it will probably speed up more during the eighties, making our world that much more complex.

Like all our other institutions, the university, too, is confronted by a time of unprecedented change. In the past it made magnificent contributions to international understanding in its traditional role. Achievements in scholarly research have opened doors of understanding which otherwise would have remained closed to us. Think, for example, of the basic, concrete ways scholarly endeavor has served the relationship between Japan and the West. Among other outstanding works by Western scholars, Sir George Sansom's *Cultural History of Japan*, and Arthur Waley's superb translations of *The Tale of Genji* and others are by now classics in the literature on Japan. Japanese,

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* This paper was presented at the International Council for Educational Development meeting in April of 1982 at Honolulu. This is also on R.I.H.E. newsletter "Colleague" No. 11, 1982.

** Senior Adviser, United Nations University

also, have produced a number of truly great works on the West since the beginning of the Meiji period in 1868.

During the 1930s and the war years, intellectual activity in Japan was sharply curtailed. Scholarly work was pushed into a very narrow frame, which made Western studies and even certain types of research on Japan almost impossible. Nonetheless the multivolume *Series on Western Philosophy* came out during that time, and most of it represents very high quality scholarship. It contains valuable and insightful research on Plato, Aristotle, Descartes, Rousseau, Hobbes, and the other great thinkers of the West. I myself, spent a good deal of time during the war years reading those books, as a student at Kyoto University.

Those scholarly achievements, however, had nothing to do with social or historical change. At times research was deliberately detached from the immediate problems of the world, made aloof from society, and the education that both supported and depended on that research was the same. Its concerns were the fundamental truths and conditions of mankind; to deal with those was role of the university.

Today, there are probably not very many who would think first of Sansom, Waley, or the other traditional great names when they discuss the role of the university in international understanding. Rather, they would focus on studies of comparative national GNP or per capita income, arms reduction or total security systems – studies that address the problems directly confronting the world. The shift in concern from classical studies to the immediate problems of our time represents a major change in attitudes. It is vital that we understand what that change means and the consequent implications for change in the role of the university. I will try to elaborate on these two themes.

## II

Most striking about the four decades since World War II is the very pace of change. It is sobering to think that man has never before experienced such rapidly-moving change in his life as we do now. The intellectual and academic community is no exception. Unlike its ivory tower past, the university, along with the whole of our so-called information society, is being pressed into new functions and new services as never before.

All of us gathered here for this roundtable talk in late April 1982, with the Second Special Session on Disarmament of the UN General Assembly coming

up in only two months, are all too aware of the widespread anti-nuclear movements that have arisen among the people of the United States, Europe, and Japan. The call for abolition and reduction of nuclear arms may be popular movement, but its demands are by no means emotional, with no scientific ground. We were warned of the danger early on, just after World War II, by eminently qualified individuals. Bertrand Russell and Albert Einstein were two. Later we were given more facts and repeated appeals to consider the risks by scientists who attended the Pugwash Conferences. We must take the anti-nuclear movement seriously, for the voices of the thousands of ordinary people who have joined again repeat the same earnest warning.

It is not impossible that most of mankind could be wiped out by nuclear weapons, and the civilizations built over countless generations totally destroyed. The fearsomeness of this possibility has absolutely solid scientific justification. Our world is threatened from other sources as well. In 1972 the Club of Rome published a report called *The Limits to Growth.* It informed us that if we proceed at our present pace in the five areas of industrialization, consumption of resources, destruction of the environment, population growth, and food production, it is highly likely that growth of any sort in the world will come to a stop early in the twenty-first century. Some specific facts and figures in the report may be debatable today, but the validity of its basic thrust is not disputed.

Some of the evidence is right before our eyes. Many of the developing countries are right now experiencing terrible famine, or the aftermath, and roughly 500 million of the world's people are struggling just to survive at a level way below the poverty line. Despite our knowledge of the facts about such conditions, there is still no evidence that people the world over are even willing to work together to prevent war, or to try to bring the developing economies up to a level of decent living for their people. Quite the contrary. In 1980 alone, while the world's nations together invested $500 billion to strengthen their respective military machines, they spent a paltry $40 billion on development cooperation – less than one-tenth of the military outlay.

We are here to talk about international understanding, but it seems to me that before we consider seeking any kind of understanding, much less enjoy its fruits, we must be assured that the human race will live long enough to justify the effort. Will we survive? How many of us, and in what condition? Or are we going to perish? Perhaps the whole question of international understanding

is basically and most directly just that – whether or not man has a future. Therefore, I wonder if there is any issue more imperative than helping others not only to survive but to live securely in the broad sense, rather than seeking to destroy them. That means helping the people of developing and poverty-stricken areas to achieve a life that is worthy of being human.

To me, the classics of Sansom, Waley, and the eminent Japanese scholars of Western philosophy remain of outstanding value. There are certain Japanese intellectuals today who distain those classics, but by ignoring those penetrating works, I think they cut themselves off from the chance to deepen their understanding of other cultures. Yet, as we think out the place of university education and knowledge in international understanding, we cannot, and should not, forget that the crucial issue, to which we must give our most dedicated efforts, is how, using the university, we can help secure man's survival.

## III

However great the institution, there is not one traditional, established university that can even begin to supply by itself the material needed to revolve the really basic questions of today: Will mankind perish, or survive? Will human civilization be eliminated? That incapacity is a premise behind the creation in recent times of a variety of extra-academic institutions intended to handle global problems of this magnitude. UNESCO, set up shortly after the second world war with headquarters in Paris, comes to mind first. A large number of other international organizations and agencies came into being later on. The East-West Center, which is of special importance to this conference, is one. Others include El Colegio de Mexico and the Southeast Asian Research Center in Singapore. There are a good number of institutions that focus on the Pacific region alone. And in Tokyo, as of September 1975, we have the headquarters of the United Nations University.

All these organizations are working some way to open pathways to arms reduction and to guarantee security and promote economic development, but as someone involved with more than one of these organizations, I am far from satisfied with their progress.

UN University headquarters, for example, even after seven years, still has not built up a close and practical academic relationship with any of Japan's established universities. Certainly one can name a list of accomplishments of

UN University. More than fifty scholars, for example, are participating in the project on the role of technology transfer in the development of Japan since the Meiji period, and they have produced work that definitely opens new international horizons on this area. And in December 1981, Olof Palme, former prime minister of Sweden, came to Tokyo as chairman of the Palme Commission to research a project, "Arms Reduction and Security". UN University played a large part in bringing scholars from Japan and other Asian countries together to participate in this research.

But in the final analysis, UN University has not had a significant impact even on the academic world of Japan, not to speak of the rest of the world. In particular, it has not had any appreciable effect on higher education in Japan. At the same time the institutions of higher learning in Japan have not stimulated any startling development in UN University, either.

I have not made any conclusions about other institutions. What is the impact of the East-West Center on American higher education, or that of the world? What about El Colegio de Mexico, or Sweden's Center for Peace Research? Or the Institute for Strategic Studies in London? Right now I am still in the process of trying to determine how much, and what kind of, influence these institutions are exerting on established universities in their own countries and abroad.

## IV

My experience in Japan has convinced me that the era of the university as the sole fountain of wisdom for international understanding has already passed. We live now in an information-knowledge society, and any number of organizations are tackling the problem of international understanding. The university is but one.

Think of the activities of television, newspapers, and the other mass media. Everyday events in our ever-changing world are brought to us almost immediately on screen and through the printed word. We cannot ignore the media and still hope to develop international understanding. Japan's national broadcasting corporation, NHK, brings programs to more than 90 percent of all the households in the country. Morning and evening editions together of each of the three major national dailies have a circulation in excess of 10 million, and carry, in addition to foreign news gathered by their own reporters, a significant

volume of news from the Associated Press, Reuters, and other internaional news agencies. The rapid progress of satellite communication, furthermore, is making mass communication, especially television into an even more effective means of gathering news.

Second, we must consider the volume of international information collected and used by busienss and governmental organizations. As it continues to grow, aided by technological advances in information processing, the quality of that information rises. The large corporations and government agencies regularly gather and store vitally important data concerning such vital matters as economic cooperation between the advanced industrialized nations, economic and technological cooperation with the developing nations, and disarmament and security. There are also a great many people involved in 300,000 businessmen abroad who have been trained by government organizations and businesses. If the university does not make the same effort to gather information, and to train personnel going abroad, it will soon lose its usefulness in major areas of research and education.

Japan is behind the West in the development of computer data bases of scientific, economic, political, and social information. If Japan's scientists and technicians are to fully use their capacities in achievements that will contribute to effective and wise economic and political cooperative efforts by Japan abroad, we must not fall behind in developing information systems linked to the powerful data bases of other nations. Japan's universities could take on that task as part of its new role for the future. Finally, organizations other than universities, like the UN University, the Asian Research Institute for Development, which is doing research on economic development in Asian nations, and the International House of Japan, have active, flexible programs that often make more constructive contributions to international understanding than the universities. The established universities must develop similar programs if they are to respond to new needs.

I do not believe that the traditional university makes no contribution to the promotion of international understanding; but it is clear that the university's place in the kind of information society we have watched evolve since 1970 must be redefined, and we must rethink the meaning of research and education.

The same is true of the information that enters Japan from abroad. Impor-

tant information is by no means confined to scholarly publications. For the past decade numerous independent international committees, made up of politicians, scholars, and businessmen have been organized to offer constructive proposals for dealing with the urgent international problems we are now facing. A committee headed by former West German chancellor Willy Brant is dealing with the North-South problem, while another formed by the former foreign minister of Ireland, Sean MacBride, has published an important report concerning change in the information order. The Palme Commission is expected to release a report in June this year on disarmament and security. These groups will supercede academic institutions in their usefulness unless the university also obtains and uses wide-ranging information from the mass media, governments, and business.

## V

In conclusion, I would like to talk about the limitations inherent in the established university. Traditionally the prototypical university is an independent and self-governing social institution where scholars are free to pursue research unbound by nationalistic constraints. But the actual development of universities took place within the nation-state, to which they made great contributions. Especially in countries like Japan and the U.S., where half or more of all students pursue higher education, the values of the many universities cannot differ radically from that of the society as a whole. Naturally, then, the funding of higher education is closely related to economic development, and it has produced many excellent studies. These studies are invariably related to national goals. Early in the 1960s, Dean Killian of MIT noted that federal grants for arms and space research played a large role in determining the orientation of MIT's scholars and technicians.

It would not be difficult to show that both Japan and the U.S. are gradually becoming "degree-ocracies," where getting a college degree pays off personally. In both cases, economic development and stronger emphasis on social welfare has produced a self-centered "me-first" attitude. A great deal of valuable research that is only partially under the control of society is undoubtedly being done in universities, and is contributing to solid educational endeavors. Yet in general, the university has become part and parcel of the society in which it exists. Is it not time that we asked ourselves how we can channel the education provided by the several institutions – the university, mass media, the

economic community, and primary and secondary schools – so that together they educate the people of a nation to be more than just national citizens but members of the human race as well.

Another, related task of the university has to do with militarism in the world today. It is virtually impossible for a nation to carry out one-sided demilitarization. So many nations have rivals – the United States and the Soviet Union, South Korea and North Korea, Israel and the Middle Eastern countries. How is it possible to effect a gradual reduction of arms and maintain the military balance? As nuclear weaponry progresses, parallel advances – domestically and internationally – are not being made in building a political order suitable to the age of nuclear weaponry. Up-to-date science and technology is being eminently well-used in military development not only by the industrially advanced nations, but the developing nations also, while environmental destruction is eating away at our surroundings. It will soon be too late if we do not basically reassess the relationship between science and man, and between technology and man; and use our knowledge to bring benefits, not destruction.

As economic concerns grow more complex and demanding, humanistic values have faded in importance. The signs of this trend are now appearing in Japan, too. The rate of crimes by adults is rising. Bribery and corruption among politicians and high-ranking officials seems to be reaching a new peak. It appears that the stress on economic society as opposed to humane life is not an altogether healthy development, even though it may make the nation more wealthy.

Today many Japanese are fully aware that Japan and its people must take responsibility to cooperate economically with other industrially advanced nations and to extend assistance and cooperation to developing nations. But they are still groping for practical ways to do it. Living and working in Japan and thinking about these problems, one feels intensely the challenge of our age to the very foundations of civilization.

The role of the university in international understanding is closely related to many factors, both at home and internationally. The university must determine its proper role in a new society, and continue to seek ways to conduct research and education with the goal of structural reform of society based on new values, on respect for man and peace. It is this kind of effort that will

be the raison d'etre of the university, and win world-wide support for the United Nations and other international organizations whose intellectual activities are aimed at resolving the world's problems. At the same time, activities in international politics and intellectual exchange that are directed at peace and human welfare will stimulate the intellectual activities of the nation.

Politically, economically, and militarily, the beginning of the 1980s does not encourage optimism. Most important for us now is to use whatever domestic and international means we have to try to improve our situation, keeping our minds open to the possibilities of a brighter future.

# THE "INTERNATIONALIZATION" OF HIGHER EDUCATION IN JAPAN

KAZUYUKI KITAMURA*

## Introduction

With the rapid economic growth of the 1960's, Japanese industry successfully established itself in the world market. There was, at the same time, a realization that social and intellectual "internationalization" would have to accompany economic achievement. Plans for international exchange and understanding in the fields of science, education and culture were developed. The universities were considered especially important in the process of intellectual "internationalization". Several new organizations were created, among them the United Nations University (which has its headquarters in Tokyo and has received significant funding from Japanese sources) and the Japan Foundation. There was an expansion in the numbers of foreign students in Japanese universities and an increased concern for the welfare of these students, as well as considerable debate concerning the role of foreign faculty in Japanese universities.

It is important, then, to examine how academic institutions have responded to the demand for "internationalization". With this in mind, a research project on "The Internationalization of Higher Education" was conducted by a team of 16 full-time and affiliated staff members at the Research Institute for Higher Education, Hiroshima University, from 1977 to 1981. (Financial support was provided by the Japanese Ministry of Education and the Ford Foundation.)

The purposes of this study were: (a) to analyze the factors and conditions which facilitate (or retard) international exchange in education and research at Japanese universities, and (b) to evaluate Japanese higher education from the perspective of "international openness" through opinion surveys of foreign teachers and foreign students. For this purpose, we conducted: (1) an institutional survey of international exchange programs at universities in Japan; (2) a

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national opinion survey of foreign teachers at Japanese universities; (3) an opinion survey of foreign graduate students studying in 14 major universities in Japan; and (4) an international survey of the status of foreign teachers and students at universities and colleges in Southeast Asia, Western Europe, and the United States. The following are the major findings of these surveys.

**Institutional Programs for International Exchange**

An Institutional Survey of International Exchange Programs was carried out in November 1978 in order to obtain an overview of the present situation in international exchange activities at Japanese universities and generate the basic data and materials for conducting the surveys of foreign teachers and students. Questionnaires were sent to all the 433 universities in the country as of November 1978, and 336 institutions responded to our questionnaire (the response rate was 77.6%). The results indicate that there are 142 institutions (42%) which have some organizations or posts dealing with international exchange, and 87 institutions (26%) which have some cooperative relationship or exchange programs with foreign institutions. The number of institutions employing foreign teachers, full-time or part-time, is 275 (82%). Among them, 190 institutions (57%) employ full-time foreign staff, while 81 institutions (24%) employ only part-timers. Only 61 institutions (18%) do not employ any foreign teachers. Furthermore, 108 institutions (32%) wish either to employ foreign teachers for the first time, or to increase the number of their foreign teachers in the future. Therefore, it seems that the demand for more foreign teachers is considerable.

The survey indicates that international programs at Japanese universities seem to be relatively more developed than we had imagined. At least in formal terms, Japanese universities in general are not significantly underdeveloped in terms of exchange programs, but in comparison especially to the United States and Western Europe, more serious efforts should be made in the following areas:

(1) In Japan, apart from very small number of universities, specialized international exchange offices and centers are very poorly staffed, and few professionals are trained for this particular purpose. The expansion and improvement of such activities should be promoted, and training programs for professionals should be developed.

(2) Many people concerned with international exchange programs in Asia and the West expressed the hope to have more information about Japanese higher education. Following the improvement of Japan's international status, there has been increased interest in Japan, but there is still a lack of data on Japanese higher education, particularly concerning individual universities. Greater efforts to provide exact information abroad through governments and universities are absolutely necessary.

**Opinions of Foreign Professors on Japanese Higher Education**

A National Opinion Survey was conducted to clarify the feelings and opinions of foreign teachers. The reason for choosing foreign teachers was that there was almost no research of this kind and because it was assumed that foreign teachers who were committed directly to university education in Japan would have a keen understanding of international openness (or lack of it) in Japanese higher education.

We sent the questionnaires to all the full-time foreign teachers we could identify in February 1979 and received 371 answers from 108 institutions (46 national, 4 public and 58 private) by the end of March 1979 (the response rate was 57.2%). The greatest number of foreign teachers (39.1%) were from the U.S. As far as the result of this survey is concerned, 87.8% of all foreign teachers were from either North America (the U.S. and Canada) or Europe, while the percentage of foreign teachers from Asian countries including China (4.4%) and the Republic of Korea (2.7%) was relatively low.

**Improvement of Employment Conditions**

Among the items on the questionnaire concerning the improvement of employment conditions, material and economic living conditions such as "better housing" and "an increase in salary" were considered "very important" or "fairly important" by a majority of foreign teachers, 37.7% and 45.9% respectively. However, a much larger percentage of foreign teachers expressed a strong demand for security in their status and position in a broad sense, for example with "health insurance" (65.7%), "pension rights and retirement benefits" (75.7%) and "security of status" (78.9%). It is also notable that many of them desired "improvement of teaching conditions" (79.0%) and "participation in the decision-making process" (71.3%).

**Impression and Evaluation of Japanese Higher Education**

The typical image of Japanese universities among the foreign teachers was as follows. They considered Japanese faculty members generally "enthusiastic about teaching students" (62.5%), but much more "research-oriented" (78.6%); 47.5% of them felt that "Japanese faculty members are indifferent to foreign colleagues" and 56.1% that "administrative clerks understand the problems of foreign teachers". A great majority of them (90.8%) affirmed that they "would be happy to continue teaching here in the long term." In spite of these good impressions of Japanese universities, 71.7% of the foreign teachers felt that "the Japanese academic marketplace is closed to foreign scholars" and 89.7% asserted that "foreign teachers should have the same voting rights as Japanese colleagues."

As for the Japanese students, 76% of the foreign teachers agreed with the statement that "Most students in my class are generally satisfied with my way of teaching" and only 15% thought that "Japanese students would prefer to avoid foreign teachers' classes because of linguistic difficulties." On the other hand, only 22% agreed with the statement: "Japanese students are generally creative and are willing to make their own judgements."

**Responses to the New Bill on Foreign Teacher Employment**

When this survey was carried out, a new bill concerning foreign teacher employment was before the Diet. Consequently some questions about the bill were added to the questionnaire, but details of the bill had not been made public and it was hard to obtain clear information about it. Therefore, in the questionnaire the new bill was explained as follows: "At present, foreign scholars may not, by law, be appointed as regular faculty members at national and public universities in Japan. However, a new bill, intended to allow foreign scholars to be employed permanently and to participate in staff meetings (though probably with limited voting rights) is before the Diet."

Based on this explanation, the following three questions were asked: "Were you aware of the new bill?", "Do you think the introduction of the bill desirable?" and "Please add any comments on the introduction of the bill, if you wish to." A total of 292 respondents (81%) answered that they were aware of the existence of the bill. Those who felt the bill before the Diet to be "desirable" numbered 304 (84%); "undesirable" 11 (3%); and "don't know" 46 (13%)

respectively. The following are some typical critical comments given by the foreign teachers.

(1) There can be no "second-class citizens" in a meaningful community of scholars and teachers.

(2) A change from "non-citizen" status to "second-class citizen" would be a change of very dubious benefit.

(3) Japanese poeple's idea of internationalization is heavily Western-oriented and exchange with Asian neighbours is hardly taken into consideration.

(4) It is regrettable that the impetus for this bill came from general political quarters and not from within the Japanese academic world.

(5) Decisions are made with absolutely no information given to people who are or may be directly affected by them.

It is our feeling that the "internationalization" of universities cannot be accelerated merely by a change in legal provisions or some consolidation of material conditions. Of course, such meansures are certainly necessary as a starting point, but the real problem remains unsolved. A comment by one foreign teacher, that it will take years for a foreigner to be accepted – really accepted – by his Japanese colleagues, even if the bill is passed, is very much to the point.

**Foreign Graduate Students**

An Opinion Survey was also conducted to examine how foreign students feel about Japanese graduate education and conditions of study, to analyze their evaluation of the academic quality of Japanese universities, and the degree of "internationalization" of Japanese higher education in a comparative perspective.

Our research population was 1,145 full-time foreign graduate students enrolled in 9 national universities (913 persons) and 5 private universities (232 persons). The questionnaire was sent at the end of December 1979, and 490 students out of 1,145 in the sample population responded, for a response rate 44.7%. Our sample came from 61 countries, the largest numbers from Taiwan (152) and the Republic of Korea (87). The size of the groups then decrease dramatically with around 20 students coming from Indonesia and Thailand, and the rest of the sample scattered. More than 70% of all the foreign graduate students come from Asia. Students from two of Japan's neighbours, Taiwan

and Korea, who share the use of *kanji* (Chinese letters), accounted for 50% of all respondents.

**Choice of Japan for Study Abroad**

Of the entire sample group, 64.5% responded that Japan was their first choice for study abroad. Fewer students in doctoral degree courses (50.6%) than master degree courses students (70.4%) reported that Japan was the first choice for them. Geographically speaking, while more than 80% of the students from Latin America (91.9%), North American(88.2%), Oceania (85.7%) and Europe (82.4%) said that Japan was their first choice, fewer students from developing countries, particularly only around 50% from Africa, Korea and Southeast Asia, gave Japan as their first choice. Asian students (who comprise more than 70% of the foreign students in Japan) in general gave the United States as their first choice as a place to study; this was the case for 86.7% of the Korean students and 70.6% of those from Southeast and South Asia. Only 10% of the Asian students preferred Europe over the U.S. Regarding their present graduate schools, 73.9% of all the respondents expressed satisfaction. Only 4.7% expressed dissatisfaction. The degree of satisfaction was slightly higher in students at national universities than those who attend private universities, and also higher among students who obtained governmental scholarship than among students who did not.

**Academic Degrees**

Not surprisingly, much emphasis was given to the goal of obtaining academic degrees. Of our sample 57.5% indicated that earning an academic degree in Japan was necessary; for students at the Master's level the figure was 79.1% and on the doctoral level 91.6%. Again, students from developing countries were particularly concerned about earning their degrees.

Student attitudes concerning the difficulty of completing academic degrees in Japan differed, with 53.3% of those at the Master's level indicating that the work was not too difficult and only 16.3% finding it very difficult to obtain degrees. In contrast, 69.9% of the doctoral students said that obtaining academic degrees was too difficult. There are also variations according to academic discipline, with 70% of the students in the social sciences, humanities and education complaining about the difficulty of obtaining Japanese degrees,

discipline, with 70% of the students in the social sciences, humanities and education complaining about the difficulty of obtaining Japanese degrees, while 50% had similar complaints in the natural sciences.

The prestige of foreign degrees varies, with American academic degrees in general most highly valued: 66.3% indicated that American degrees are "very prestigious" and 23.5% "rather prestigious." In contrast, 48.6% of our student sample claimed that European degrees are highly prestigious and 39.4% that they are "rather prestigious." Japanese academic degrees were less highly valued, with 21.2% indicating "very prestigious" and 50.6% "rather prestigious." The students were critical of the academic degrees in their home countries, 17.6% saying that they were "very prestigious," 42.0% "rather prestigious," and 28.5% "not so prestigious."

Questioned about the impact of a Japanese degree on prospects for employment, status or salary increase in their home countries, 21.6% responded "very advantageous" and 49.2% said "rather advantageous," while only 11.8% responded "not so advantageous." Geographical diversity is evident. The regions where a Japanese degree is thought to be advantageous are Korea, Latin America, Taiwan, Southeast and South Asia, while Japanese degrees were not perceived so advantageous in Australia, New Zealand and North America.

To the question: "Do you think that there is any problem to be solved in foreign students' obtaining an academic degree in Japan?" 45.3% of all students responded "Yes," while 14.9% said "No." In this area, serious problems seem to be felt by students especially in the field of humanities, social sciences and education. These comments suggest a need for improvement in the following four areas:

(1) Doctoral degrees should be made more easily obtainable, especially in the humanities and social sciences, because a Japanese doctoral degree is extremely difficult to obtain in these fields.

(2) The traditional concept of a doctoral degree conferred only for outstanding academic achievement should be changed to a more course work-oriented system like that for the American Ph.D.

(3) The procedures and standards for obtaining doctoral degrees in Japan are unclear and should be clarified so that they are understandable to foreign students.

(4) Improvements should be made in instruction and guidance on obtaining the doctoral degree.

**The Evaluation of Japanese Higher Education**

Of all respondents, 63.5% indicated that "in general, Japanese universities have reached international academic standards." Only 13.7% did not agree with the statement. The responses of students in the natural sciences were more favorable than those in the humanities and social sciences. Students from Asian countries tended to see Japanese academic degrees more favorably than students from North America and Oceania.

To the statement that "Japanese universities are paying enough attention to the problems in developing countries," only 18.4% of the respondents said "yes," while more than half (51.2%) responded negatively. A similar trend was also seen by both field of study and national origin. It seems that Japanese universities are considered aloof from the problems of developing countries.

Unexpectedly, a majority (56.5%) did not agree with the proposal that "Japanese universities should provide foreign students with classes taught in English." Only 27.6% supported the idea. However, more than 50% of the students from Southeast and South Asia wanted to have classes in English.

To the statement that "Japanese professors are generous (not strict) to foreign students in terms of evaluation," the responses were diversified: "generous" (31.4%) "strict" (31.4%), and "don't know" (33.5%). Only 18.4% of all the respondents agreed with statement: "In general, Japanese professors are indifferent to foreign students," while 64.3% did not agree. Concerning the attitudes of Japanese students, nearly 70% of all the foreign students agreed with the statement: "Japanese students at my graduate school are cooperative in my study." Only 18.4% responded with a negative answer.

Finally, as to the evaluation of study abroad in Japanese university, 90.2% of all the respondents answered "very helpful" to the question: "Do you think what you have studied at the Japanese graduate school will be helpful after returning to your home country?"

**Appointment of Foreign Professors**

The appointment procedures for foreign professors at national and public universities has become a controversial issue in Japan. According to the traditional interpretation of the law as viewed by the government, Japanese nationality is a prerequisite for the employment of public officials, and as professors at national and public universities are considered public officials, non-Japanese

cannot be appointed to the Faculty Conference (the Kyōjukai, the most important decision-making organ in Japanese universities), in which the will of the State may be discussed or decided. The bureaucratic interpretation has increasingly been challenged by some scholars who demand a reform of the anachronistic appointment system.

**Subsequent Progress**

Our findings on the internationalization of higher education have been published in Japanese in an eight-point report released by Hiroshima University. An English-language summary has also been published under the title "The Internationalization of Higher Education: A Final Summary Report" (Research Institute for Higher Education, Hiroshima University: December, 1981. 99 pp.).

Let us now examine the subsequent progress that has been made. There were at least two important developments in the direction of "internationalization" in the universities during 1982. The first was the approval by the Diet of legislation pertaining to the appointment of foreign professors, and the second was the Ministry of Education's decision to advise all universities to give serious consideration to the question of awarding post-graduate degrees to foreign students. As is clear from the conclusions of our survey, these two new developments represent a reaction at the political and administrative levels to certain major problems that must be solved if Japanese universities are to become international.

**Passage of Legislation on Foreign University Professors**

In August 1982 the Diet passed an LDP (Liberal Democratic Party) member's bill entitled "Special Legislative Measure for the Appointment of Foreign Nationals as Faculty Members at National and Public Universities." As a result of the new legislation, national or public universities are now legally able to "appoint foreign national as professors, assistant professors or lecturers who shall not be prevented from being a member of a Faculty Meeting or any other consulting bodies organized for the operation of the university and from participating in the voting of such bodies" (Article 2, 1–2). This is in addition to the old system whereby it was possible to "employ foreign nationals to engage in teaching or research activities by contract of service" (Article 4) in such categories as "foreign teacher" (*gaikokujin kyōshi*) or "visiting professor" (*kyakuin*

*kyōju*).

The objective of the legislation, as stated in Article 1, is "to contribute to the development of teaching and research activities" and to "the promotion of international exchange in academic fields" by enabling foreign nationals to be appointed as regular teaching staff. Neither the internationalization of higher education nor the development of the free and fair competition essential to the pursuit of universal knowledge is possible unless teaching staff, the backbone of basic educational and research activities in universities, are assured of equal status and treatment irrespective of differences in nationality. In this sense the new legislation represents an enormous challenge to Japanese universities, accused in the past of being closed and parochial. The problems associated with "internationalization" have been dealt with at the political and administrative levels, and the responsibility for putting the process into effect now lies with the universities themselves.

The new legislation requires professorial appointments to national and public universities to be open to international competition. This represents a transition from the situation described by the OECD Educational Survey Mission after its 1970 visit to Japan as a "completely closed market for Japanese only" (OECD Examiner, "Reviews of National Policies for Education: Japan" [Paris: 1971]), to a completely open market where foreigners compete with Japanese for all positions. This is not to say that such a transition will take place overnight simply because of the passage of the legislation. In the past the objective of university development in Japan was to transform the old imperial universities, where most posts had been held by hired foreign teachers since the Meiji era (1868–1912), into universities for Japanese. During this "Japanization" of education, the expectations placed on foreigners were narrowed down into supplementary roles in certain special areas (particularly the teachin of languages) which could not be dealt with by Japanese. Even today this traditional attitude remains firmly rooted in Japanese university circles. Japanese universities are dominated by fationalism and reluctant to open the professorial appointments market even within Japan, and one wonders whether such institutions are really capable of opening their doors to international participation. Japan's national and public universities have taken the first step in the long process of finding solutions for this extremely difficult new problem.

**Degrees for Foreign Students**

The number of foreign students in Japan has been increasing steadily over the past few years, from a total of 5,755 in 1977 to 7,179 in 1981. More than 70% of these students come from Asian countries, the largest contingents being from Korea and Taiwan. More recently, large numbers have come to Japan from countries like China, Singapore and Malaysia, and Japan is likely to play host to an increasingly large foreign student population from now on.

On the subject of foreign students, our survey clearly revealed the existence of two difficulties that are both traditional and modern. One is the problem of learning Japanese and the other the difficulty of acquiring degrees. Unless these problems are overcome, the full benefits of study in Japan will never be realized.

In September 1982, the Higher Education Bureau of the Ministry of Education issued an advisory note to the presidents of all national and public universities, calling for improvements in the situation regarding the conferment of degrees to foreign students. The note was based in part on the results of our opinion poll of foreign graduate students, and called for efforts on the part of universities to make improvements in light of the following five considerations:

(1) Japan's future depends on cooperation with the international community. In this sense the deepening of international ties in the areas of research and education is one of the most pressing tasks now facing Japanese universities, and it is particularly important that efforts be made to improve the systems under which foreign students are accepted.

(2) It is essential that the content of postgraduate courses in Japan and the degrees awarded for such courses be understood, accepted and recognized in the context of internationally accepted ideas. Universities should give careful consideration to the importance of degrees to overseas students, particularly from the developing countries.

(3) It is particularly difficult for overseas students to acquire degrees in the humanities. This is partly the result of a lack of consistency in attitudes among different academic fields. Under existing regulations doctroral degrees are awarded to candidates who demonstrate the ability to conduct research. It is desirable that universities improve their educational and research guidance programs to enable foreign students to acquire doctoral degrees in accordance with the

spirit of these regulations.

(4) Exceptional measures will be needed to deal with the problem of Japanese language training for foreign students. Steps should be taken to ensure that these students are not subjected to undue burdens during the process of fulfilling their requirements regarding the language used in the thesis, the need to sit for examinations in other foreign languages, and so on.

(5) In view of the long periods required for foreign students to acquire degrees, greater use should be made of the procedures available for the extension of state-funded scholarships.

All of the above issues were pointed out by foreign students in their responses to our survey. Committees were immediately set up at a number of national, public and private universities throughout Japan to examine these questions. The question of degrees is closely linked with the educational standards in the country concerned and with its tranditions and attitudes regarding learning and culture, and the problem is not conducive to easy solution. However, in view of the growing numbers of foreign students likely to enter Japanese universities as degree candidates, it is no longer acceptable to maintain an ambivalent stance on this matter. The problem of degrees has now shifted from the administrative and political spheres down to the individual university level, and each university will need to work toward the achievement of definite solution.

**Conclusions**

Since the beginning of the Meiji Era, the Japanese have striven to build schools and universities to serve their own needs, at the same time subjecting Japan to a process of rapid Westernization. Seeking to develop Japan from a position of weakness and poverty, the Japanese looked to foreign learning and paid extremely high salaries to foreign teachers. Money was provided from meager national budgets to send Japanese abroad to study. These people acquired knowledge overseas and then returned to Japan to teach and prepare textbooks in their own language. They took the place of foreign teachers and contributed to the development of Japanese universities.

In the 1980's, however, as pointed out by the OECD examiners, Japan is faced with the need to develop new attitudes. A hundred years ago, Japan emerged as a member of the international community; today she can no longer

see the world simply as a market in which skills and materials can be acquired and products sold.

It is no longer acceptable for Japanese universities to exist solely for the benefit of Japanese teachers and students. The market for professorial posts must be opened up to allow foreign nationals to compete on an equal footing. Scholars must learn to work together regardless of differences in nationality, language or cultural background. Similarly, Japan's position in today's world demands that instead of merely acquiring knowledge from other countries, it opens the doors of its universities and actively welcome foreign researchers and students, not simply to create opportunities for mutual learning, but to provide education for foreign students with differing languages and customs.

Contacts with scholars in other countries will continue to expand. Growth is also likely in the number of students coming to Japan for university education and to acquire degrees, particularly from the developing countries. These trends will make it inevitable that Japanese universities take steps to replace systems and practices that are acceptable only within Japan and develop Japan's most fundamental educational and research functions to conform with current international standards.

The direction of Japan's century-long process of modernization cannot be changed overnight, and a period of time is always required to develop a response to new demands. At the political and administrative levels, however, Japan has already taken the first step; Japan's universities can now be expected to move steadily toward the goal of internationalization.

**Editor's note:**
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# PART II

# CURRICULUM AND TEACHING

# WHO OWNS THE UNIVERSITY CURRICULUM?

A. H. HALSEY*

I want to begin by simplifying history, first by reminding you of something very obvious which is that in universities we teach and we research. Some do both, and some do neither, but there is always a tension between the two. The second simplification I want to put to you is that the curriculum and mode of instruction of universities fundamentally depends on who owns them. I want to suggest that there have been four owners so far. First, the European medieval university was owned by priests, and therefore we can call that the period of theocracy in universities. Second, the theocracy was taken over by the sons (not the daughters) of the powerful in society who were on the whole in Europe at that time aristocrats. Third, and rather slowly, the aristocrats had to give way to the meritocrats. That is what is happening in the twentieth century. Fourth, I want to suggest that you are to be displaced by the consumers, the students. I shall call this democracy. In other words, there have been four overlapping stages of ownership of the university – the theocracy, the aristocracy, the meritocracy, and the democracy.

I do not want to suggest that these phases are sequestial, that is to say, that any university is represented by any one of these four stages. Any university, including the University of Hiroshima, will be shown on analysis to contain elements of all four. But I do want to suggest that the dominance of any one of them does follow in that sequence. And I want particularly to draw our attention in curriculum and modes of instruction to the coming dominance of the consumer interests, that is to say, what I call here democracy.

Let us next notice that according to which is dominant, so there will be a difference in the emphasis of the curriculum on teaching as contrasted with, or distinct from, research. In the theocratic phase the most important thing is to pass on an unchanged knowledge about the next world to those who will be

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licensed to preach it to the next generation. So that the teaching function is important in the medieval European universities. But, even though that is true, it is still important to study the next world and therefore there are mysteries, the beginnings of what Professor Dressel has been calling disciplines, even at that stage. So I emphasise the teaching function, while recognising that some serious research learning was pursued in the medieval university.

The second phase belongs to the sixteenth and seventeenth centuries when university research was at a low ebb. Universities were not concerned very much with other than passing on from one generation to another that which was thought of as the most prized culture of the day. The European aristocracy of the early modern period remains a prime example of the second phase of ownership of universities, but if we go further back, as Max Weber has taught us in his sociology, perhaps the classic case is in Confucian China when the equivalent of universities were much concerned with passing on the teaching of the high culture of the literati or mandarin classes.

Then life became interesting for professors. In the nineteenth century university life changed markedly in favour of power to professors. It became important, particularly through the advance of the natural sciences, to ensure that the main function of the university was to reproduce the professor, to guarantee, as we say in English, the academic succession.

May I relate this phase of development to Professor Dressel's remarks on the nature of discipline. What Professor Dressel was arguing, if I may be as brief with him as I have been with all these centuries, was that disciplines are a map of knowledge, an increasingly detailed map of knowledge, where the bits of the map consist of a theory, a method, and a substance for solving a group of problems. I would add that there is another way of describing disciplines. They are intellectual trades unions of physicists, chemists, etc. So another way of describing disciplines is to say that physics is what physicists do, history is what historians do, sociology is what sociologists do. I suggest that this is as illuminating for understanding what is happening in this phase of university ownership as the map of knowledge theory of disciplines.

It is illuminating precisely because of what is now beginning to happen. Professor Dressel's is a view which is in the interests of, shared by, those who come to learn. He was very keen to impress upon us that getting outside the boundaries of any particular discipline to produce something we call education

in the full sense, is in the interests of students who will not necessarily become professors. But if you look at disciplines in the other way, then you immediately see that professors, in a sense, conspire against education. We want to preserve our discipline, and to make its research more and more powerful. We are not quite so interested in passing it on except to those who will become like us. Therefore we are, in that historical sense, reactionary against the next phase of democracy, where the emphasis will shift again back to the teaching function and to a broad education for the consumers rather than the guaranteed succession of the professorial producers.

Now why should we believe that there will be a transition from meritocracy to democracy? We can start from the position which everyone agrees that to live is necessarily to learn. It may be learning that stupifies or learning that enlightens, but every encouter of any kind is a learning experience. We have so arranged ourselves in the twentieth century that there is more and more time for learning. I know that you still work on Saturdays in Japan, but you will not do so for very much longer. All the rest of the First World has stopped working on Saturdays, and it doesn't do much work on Fridays either. If you look at the trends in the richer countries, a lesser and lesser time in the whole of an individual's life cycle is spent on labour and work, and a greater and greater time is therefore available for every kind of idleness, including the idleness of being curious about what is going on in the world which we usually call an education or learning.

It is threrfore not surprising that more people stay longer in school of some kind. And given that the schooling that has been available in the twentieth century so far has been of the meritocratic kind, there has been a great pressure on universities as institutions which parents particularly want their children to enter.

Don't misunderstand me. I think it is against nature. Most people cannot bear universities. it is a very specialised taste. Certainly a specialised taste for those who do not wish to become highly literate or highly numerate. And indeed it is only in this period that most educated people wanted to go to universities. Most of the early scientists and literary men could not stand dons. In Europe most people who had imagination or liveliness in either the sciences or the arts until quite recently always went away from universities.

In other words, I am saying that the university which you and I have created

is essentially a place of research for rather eccentric people who can stand that kind of life. It is not at all surprising that this new phase is coming because there is so much more resource available. In the recent past individuals have not had alternatives to a university. But now increasingly there are alternative forms of education, which will challenge the universities' recent monopoly. In Japan it is obvious that more teaching and learning goes on in industrial companies than in universities. It is important to recognise that – that the passing on of the culture which makes us rich is so dependent on the industrial company. Of course, it is also important that schools and universities should be there further to increase the power of the technology on which industrial companies are built. At the same time, we must notice that if the process of reducing the amount of work goes further than it has gone so far, then the attractiveness of the university as an institution certifying entrants to the labour marker will also diminish.

But perhaps I am wrong. Perhaps the university is not finished. Look what happens to the emphasis as we come down through history. And from that point of view you could say that the traditional university was a great teaching institution, that it had a temporary period when it was robbed of that function by the professors, and now, in the new era of consumer demand, it will return to its historical priorities. If that is so, the universities will have to re-learn how to teach, how to follow a curriculum, which is what Professor Dressel was advocating when he spoke earlier.

If it is the case that we are going to return to becoming great teaching institutions, then there is a big difference from the old era of teaching and the new one. Whereas the economies of universities have been labour-intensive, we are now reaching a stage in which teaching will be highly capital intensive.

From this point of view how successful was the university in its meritocratic phase in satisfying democratic criteria of the higher learning? The best performer, you might say, has been the United States of America which, on a fairly generous definition of what you might mean by a university, has admitted one-third, even 40 per cent, of its young people. In a rather more rigid definition of a university, in Britain, we have never got beyond 12 per cent. And Japan is somewhere inbetween the two. What does that mean? It means that a meritocratic type of university can never, even on the American definition, satisfy the full potential of democratic demand for higher learning.

It follows on this view that the university of the future must be seen as having its essential genius in the teaching of research knowledge to highly selected people. But the university at the same time must accept the challenge of being an important part, but only part, of a democratic higher education system. That democratic higher education system, even in countries as rich as Japan will be in the twenty-first century, will not be able to afford to live a teaching life like Oxford in the twentieth century, with one professor to seven or eight students. And therefore again the capital-intensive form of teaching will be of paramount importance.

It is from this point of view that I was so very interested to learn that Japan has decided to take the so-called university of the air seriously. The university of the air is the best single example of the transition to capital-intensive teaching.

The transition from an industrial society into a post-industrial society is in part a transition from spending a great deal of our lives in work-places (in which I include universities) to spending more time in domestic and leisure milieux. Now it is characteristic of the new technologies teaching that they can be delivered to people's houses and places of leisure. It is possible to choose the best Japanese statistician, historian, or sociologist and ask him or her to put into capital form the best series of lectures for a defined set of students. If so there is the problem of how it can be that if professors lose their influence into a capital good which can then be delivered as a service wherever it is needed by the student in the place he or she happens to be.

Moreover, the capital form, as opposed to the labour-intensive form, has another enormous advantage to the pupil. It escapes from the traditional definitions as to when *in the life cycle* learning has to take place. We have so far lived on the crude theory that learning is confined to childhood. Aristocrats had to learn their way of life early – it is a very specialised form of life, and most of it consists in learning who the others are. Most of the curriculum was not formal. It was a hidden curriculum of getting know each other. Similarly, meritocrats have to be found early in their life time. Clever individuals have to be identified early, and motivated to learn fast and long. Priests aristocrats, and meritocrats are specialised social personalities needing long and arduous training from an early age. But the democrat, though not disadvantaged by early education, has a life time of learning before him.

What, then, can we say about the future of the universities? First, the university will always have a curriculum which is peculiarly its own – the curriculum of the research frontier. Universities will be needed by those, and they are bound to be a small minority, who are destined for the research succession. No other institution can so effectively play this role. Second, the university has a peculiar mode of instruction which is its own, and will always be labour intensive. The way in which people learn at the frontier of knowledge is by 'gossiping' – about how to do it and who is doing what. The advanced student already knows his discipline; he 'gossips' about it in order to get new ideas. That is a special mode of instruction which is totally inappropriate for teaching children how to read or write, where there are codified procedures for passing on effectively the basic skills.

Third, the university in its own way will always be in a central place in the education system. It will always be a standard-setter for teaching itself. It will always be the teacher of teachers. There is always a place for the study of learning itself, and the university can legitimately claim to occupy that place.

Finally, there is an implication of the argument I have put. In the aristocratic, and still more in the meritocratic, phase, professors have been relatively materially highly rewarded in their societies – they have lived like gentlefolk. They have been privileged people. But if they are to be given a rather more specialised role, and if only a small minority are capable of accepting the rigours of scholarly and scientific life, then probably in the future professors will not be so relatively rich in society. They will not be absolutely poor, but they will not be rich. And if they are not relatively rich, then perhaps their capacity to influence government and those who are notable in society, will decline. A rich man's opinions are normally more readily heard than a poor man's opinions. If so there is the problem of how it can be that if professors lose their influence over prime ministers, cabinets, businessmen, and millionaires and become poor scholars again, how will they secure the funds to keep the universities going? That is a question to which I shall address myself in Tokyo.

# CURRICULUM REFORM IN HIROSHIMA UNIVERSITY: THE CASE OF THE FACULTY OF INTEGRATED ARTS AND SCIENCES

HISASHI SHIKIBU*

The Faculty of Integrated Arts and Sciences (*Sogokagaku-bu*) was created in 1974 as the first major implementation of the reform plan for Hiroshima University. It was formed on the basis of, and through the reorganization of, the *Kyoyo-bu*, the school of General Education, which was a *quasi*-faculty responsible for providing courses in general education for all freshmen and sophomore students of the University; quasi-faculty because its purpose was deemed to be not to intiate and conduct research but merely to teach preliminary courses without having its own students. The new faculty, with 100 full professors, 80 assistant professors and 36 assistants – 136 of whom were transferred from the *Kyoyo-bu* – enjoys the full status of an academic faculty with the functions of both research and teaching. It has an intake of 120 of its own students per year, for whom it offers a new system of learning based on the principle of the integration of arts and sciences not fully dealt with in any of the traditional faculties and departments, while it inherits from the *Kyoyo-bu* the responsibility for conducting the general course of studies for all the students of the University. This Faculty is the first of its kind in Japan.

The idea and ideal of the integration of arts and sciences attracted many scholars throughout the country in the initial stages of the new faculty's formation. Recruitment was successful, in most cases I should say. Many active scholars with a good many scholarly publications were quite eager to join us in creating new realms of interdisciplinary research and education. Out of a hundred newcomers at this initial stage of five or six years' development, more than ten hold Ph.D.s from foreign countries, and three have enjoyed full professorships in American universities. The morale of the faculty is naturally quite high.

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A major stimulus for this ambitious plan to create a new faculty came from the student revolts in the late 1960s. When the "Reform Committee for Hiroshima University" (later to be called the "Master plan Committee") was set up by the faculty members in response to student demands, among the diverse topics discussed concerning the system of research and education and the organization of the administration as it existed in most other universities in Japan, the problem of the General Education and *Kyoyo-bu* was regarded as central. The largest and most radical students body had its roots in the student self-government association of the school of General Education, *Kyoyo-bu*, that is, of those at the junior levels of freshmen and sophomore for whom the *Kyoyo-bu* is responsible. It was felt in most universities, and even at the *Monbusho* perhaps, that something had to be done about General Education, but nothing adequate had been produced as a viable model.

The new-system university (*Shinsei-daigaku*) after the War founded itself, as we are told, on the two poles of General and Specialized Educations. The Curriculum Standard of the Association of University Standards and Accreditation states that, out of the total of 124 units of credit which have to be acquired to obtain the title of bachelor's degree, 36 units must be obtained in the subjects of General Education (Humanities, Social Sciences, Natural Sciences), together with 8 units in Foreign Languages and 4 in Physical Education. These subjects were meant to enable students to acquire "fundamental culture as a human being or as a citizen of the modern democretic society," or "to cultivate critical and intellectual thinking and judgement not confined to one's special field or vocation." The idea was commendable. It reflected, as I take it, a kind of ideal on the part of the founding fathers of the new-system University, not to be regarded as a mere copy and transplantation of the American college system. But in reality, the General Education did not establish itself as deeply and firmly as was wished in those twenty years.

"Give a dog a bad name and hang him." General Education was the dog of academicians. It was viewed in a bad light. In the voluminous papers and reports of the reform committees of various universities, which appeared in the late 1960s and the early 1970s in the high tide of reformation and innovation, the problem of General Education and *kyoyo-bu* was focused upon and talked about extensively. But while most of these committees were eloquent in pointing to the difficulties and finding out the causes of the alleged defects, they

were slow or indefinite in proposing any feasible solution. Some attributed the difficulties to the lack of morale of the teachers; others to the mechanical division of the subjects into General and Specialized, with the corresponding bodies of teachers, thus hindering the flexible and organic arrangement of curriculum based on the needs and purposes of individual students. Among the academicians, the evaluation and diagnoses were different according to whether they belonged to the *Kyoyo-bu* or to the ordinary faculties. People whose function it was to give courses in General Education unanimously complained of the fact that definitely smaller numbers of teaching staff and equally smaller amounts of money were allocated by the government to (the section of) General Education, with a consequence of over-crowded classrooms.

To cut a long story short, the idea of creating a new faculty with a new principle emerged in such a situation in the minds of those concerned at Hiroshima University, with the *Kyoyo-bu* as the center of the movement. The *Kyoyo-bu* exerted all its powers in drawing up a blueprint for the expected faculty, in obtaining the support of other faculties of Hiroshima University, and eventually of the government.

The alternatives for us to choose from were, so to speak, the way of advance or that of retreat from the view-point of General Education: whether to strengthen the body of teachers responsible for it, or to disperse this body into the order faculties of Letters and the Sciences. Some universities seemed inclined to take the latter course. We chose, however, a narrow path of steep ascent rather than retreat into a cosy corner. The General Education was something worth sweating for, and it was not likely to be enriched without having a body of teachers who would willingly take responsibility for it. We came to the conclusion that the *Kyoyo-bu* should be reformed into a new faculty, of *Gakubu* status, with a new ideal and organization, in the hope that it may become a first step towards the over-all reformation of Hiroshima University.

The prevailing opinions of the reform-plans fashionable in those turbulent days of innovation were that more flexbility and openness in organization and curriculum, were needed to cope with the changing demands of the diversified interests of student. The established structure of the traditional university with the system of *Gakubu* (Faculty) and Chair at its core was criticised as being too rigid and inflexible to receive scholars and students who wanted to

step across the boundaries of traditional disciplines. In a closed system of narrow specialization, however comfortable this might be for research-oriented scholars, it was not likely that students with a broader intellectual outlook could be brought up. But these opinions and criticisms did not have enough force to stir up the deepseated conservatism of well-protected professors. The reform was the theme most talked about, but with the least actualization.

The *Kyoyo-bu* of Hiroshima University disired in these circumstances to create a new faculty on its own initiative, in which our own ideals of higher education would be put into practice. The liberal arts college in the United states stood as a model. One might argue that the faculties of Letters and Sciences of Japanese universities correspond to the liberal arts college in the United States. This is true, I should say, to extent: both of them embrace disciplines in humanities and fundamental sciences. And yet, the principles of education are different: in the former case, knowledge and skill in specialized fields are what is mainly and directly aimed at, while in the latter, the studies in some specialized subjects are rather the path through which students are trained to become educated persons.

With these considerations in the background, the policy in founding the new faculty was outlined in the following ways:

(1) The teachers' body responsible for the General Education was not to be dispersed into other faculties of specialized fields, but to be strengthened and be kept as one body. It continues to be responsible for the planning and practice of General Education for all the students of the university. It would, however, enjoy the status of a full faculty comparable to the established faculties in specialized fields.

(2) The new faculty would work on the idea and ideal of the integration of sciences and place much emphasis on the advancement of research and teaching in the interdisciplinary subjects.

The internal organization will correspond. All the subjects will be comprized under the one name of Integrated Arts and Sciences. A system of having many Chairs with multiple professorships will be adopted.

(3) The new faculty will have its own undergraduate students on whom would be conferred the degree of Bachelor of Integrated Arts and Sciences (*Kyoyogakushi*) upon completion of the requirements suitable for the interdisciplinary studies. The curriculum will be consecutive through the stages of the General Education and the so-called Specialization. The mechanical dichotomy between these two stages will be rendered insubstantial and free choice of subjects by students will be encouraged.

**The Courses of Study**

We adopted the name of "*Sogokagaku-bu*" as the faculty name – unique among the faculty names in Japan – and "Integrated Arts and Sciences" as its English version.

"Integration" sounds very nice. But what is meant by it actually, and how will the ideal of integration be given form in the educational system at undergraduate level? That is a good question. Some claim that there is to be "integrated science (*sogokagaku*)" as such which we must be prepared to strive to create eventually. Others believe that integration indicate merely the direction in which all of us scholars, no matter what fields they are in, are requested to aim, the more so nowadays because any specialization tends to be enclosed in narrower circle. I must confess that we did not have any conclusive discussions on this problem. Both the stronger and weaker interpretations given to the term were given equal value by the faculty members. The system of courses we offer may be deemed part of a pragmatic solution of this difficult problem.

The courses of study for the 120 of the faculty's own students are arranged in four major fields, all subsumed under the single comprehensive hending of Integrated Arts and Sciences: (1) Area Studies, (2) Social Sciences, (3) Information and Behavioral Sciences, (4) Environmental Studies (Interdisciplinary Studies of Natural Sciences). A list of the corresponding faculty bodies (*Koza*= Chair) and the student programs available in these four fields is given below. In addition, five courses of foreign languages (English, German, French, Chinese, Russian) and a course in Health and Gymnastics are also available as common programs. In addition, languages such as Greek, Latin, Spanish, Korean and Music, Painting and Calligraphy are offered as optional courses.

| Course | Chair/Program |
|---|---|
| Area Studies | Japanese Studies |
| | European Studies |
| | British and American Studies |
| | Comparative Cultural Studies |
| Social Sciences | Social Sciences (I) |
| | Social Sciences (II) |
| Information and Behavioral Sciences | Basic Studies of Information and Biology |
| | Human and Animal Behavior Studies |
| Interdisciplinary Study of Natural Sciences | Basic Sciences |
| | Environmental Studies |

Each courses and program prepares a model plan of study in accordance with which students are advised to form their own courses of study in inter-disciplinary subjects. Both the fundamental subjects and cross-disciplinary training are emphasized. In the case of laboratory work, for example, students interested in natural sciences are advised to take a half-year laboratory course composed of materials from physics, chemistry, biology, and geology and another half-year laboratory course composed of two chosen fields, so that they may have easier access to such combined fields as bio-physics, bio-chemistry, ecology.

Students come from the areas of both letters and natural sciences, and they spend a freshman year in common without any course division. The choice of course, and of program is made respectively at the end of the first and the second year, so that their concentration may have a broader background and that they may make their choice on the basis of their own trial and experience at the college.

While most of the subjects are elective, the two in the Modern thought and Programming are required of all freshman, regardless of their prospective future fields.

Language is one of the fields on which we place much emphasis. Students are encouraged to train themselves to be competent not only in reading but also in writing and speaking at least one foreign language. Advanced courses are prepared accordingly. As for graduate work, the Faculty conducts graduate

work in the divisions of Area Studies and Environmental Studies. Such work at present leads to the Master's degree. However, continuous efforts us are being made to reorganize the above divisions into a doctorate program.

**General Education**

Since the establishment of the new faculty, not much has changed in General Education both in content and administration. *Sogokagaku-bu* assumes the double functions, referred to above, of giving General Education to all the students of the University, along with the four year consecutive courses to its own students. It is strongly supported by other faculties, but few teachers of other faculties actually give courses in this category.

Various ways of integrating General with Specialized Education were proposed when the new faculty was formed. One of them was the abolition of the category of General Education in the Curriculum Standard, as it was enacted in the case of Tsukuba University. The possibility was discussed by the Master-Plan Committee, as a step toward a more flexible curriculum with fewer barriers of government regulation. But it was not adopted, because, for one thing, there was a need to protect General education, if one intended to keep it in higher education and because, for another thing once the decision was made to retain it quite a large number of classes for all freshmen and sophomore needed an efficient management system of its own. However, some flexibility, within the traditional regulation though, has been introduced, as has been the case with some other universities these days. The so-called wedge style (V-shaped) curriculum has been adopted in most other faculties, so that the faculties may offer their own students some introductory courses in their chosen specialization from the very beginning of their university life. Thus the requirements in the General Education serve as an artificial barrier to a lesser extent to students entering their own specialized fields.

The variety of subjects available in General Education has been greatly increased as the new faculty has added new disciplined for advancing interdisciplinary studies; Comparative Culture, History of Christianity, South Asian Studies, Cultural Anthropology, International Relations, City Planning, Computer Sciences, Bio-chemistry, Ecology, History of Science, etc.

Single courses, following a comprehensive theme (*sogo-kamoku*), and conducted by teams of several teachers, feature in the revised curriculum in

General Education. They are courses such as "American Civilization", "European Views of Man", "Love and Death in Literature", "Studies in Peace and War", "Aspects of Cultural Exchange", "Introduction to Life Science", "Environmental Studies", "Water", "Steel".

Improvement in language teaching has been attempted, by the combination of such classes as composition, language laboratory, conversation, extensive reading, creative writing and so on.

**Student Affairs**

A major change was effected in the supervision and service of the student's non-academic activities by the introduction of a new system. The 4000 Freshmen and Sophomore students who originally belonged to the *Kyoyo-bu*, now no longer do so. Instead they are attached to their own particular faculties from the very beginning of their university entrance. Thus teachers of the Faculty of Integrated Arts and Sciences are now less involved in student affairs compared with the days of the *Kyoyo-bu*. Not that they are entirely get rid of the work. The *Kyoyo-bu* organize a team of tutors, as we call the teachers who are in charge of the guidance of a small group of students, in conjunction with the tutors of each particular Faculty, so that the students may get advice from both points of view.

In extra-curricular activities, students' groups had been formed upon the basis of *Kyoyobu*-students, with the result that most of the burden of bringing to order the energy of those uncontrollable youngsters hung heavily on the shoulders of the *Kyoyo-bu*. Now most of the affairs are in charge of the Student Affairs Bureau of the Central Administration aided by the Committee for Student Affairs composed of professors of all Faculties.

**Prospect**

Eight years have elapsed since *Sogokagaku-bu* started. It has received much public attention across the country, as a new style of research and education and as a rare case of large scale innovation, which has own the liberal government support, from an internally-developed plan not imposed by outside authorities.

As a person, however, who has been in charge of the Faculty as Dean for the past five years, I think that there is much still to be done by way of estab-

lishing a stabilized and efficient system and manner suitable for the ambitious plan. It is true that Rome was not built in a day and all precious things are difficult. But there are certainly many barriers for us to overcome to bring the new Faculty to a fountainhead of a reform movement in higher education.

The difficulties come first from the very fact of duplicated functions of General and Specialized Education. Secondly from the fact that the Specialized Educations in our Faculty is an ambitious task of interdisciplinary studies. Professors who have taken part in the formation of the new Faculty have exerted great efforts in consolidating new groups of teachers (Courses and Chairs) from different disciplines. Thirdly, there is the task of finding a curriculum suitable for the "integrated" sciences. It is a task not to be achieved easily. And the closer the focus upon the cultivation of the new field, the less time and energy tends to be given to the courses in the General Education.

Wasn't it one of the principles of the new Faculty to integrate the General and the Specialized Education, one might ask, and are not the newly-cultivated interdisciplinary studies to be reflected in the courses in the General Education? So they are, certainly, in abstract. But it is a difficult task, indeed, to achieve in a concrete form. The participants in our Faculty must always keep themselves alert to such a situation, and be ready to spend much time thinking about the nature of their role as a reforming force in higher eduction, and trying to discharge their roles as teachers both of General and Specialized Education.

Innovation within the framework of an established system has many restrictions. I imagine sometimes the case of establishing an independent small scale college, in which personal ideas and ideals would be more freely realized. Japanese government universities may have expanded by the sacrifice of something precious.

Despite all these difficulties, however, and regardless of any personal sentiment, the morale of the *Sogokagaku-bu* is quite high with dedicated scholars and teachers. There is always some lively feeling in a new institution, and the fact that the faculty is composed of scholars both in the field of letters and of science engenders an exploring spirit among them. I rely on them. They will keep offering something new, something attractive, though the path before them is surely steep and rugged.

# CURRICULUM AND INSTRUCTION IN COLLEGES AND UNIVERSITIES

PAUL L. DRESSEL*

After fifty years of involvement in development and evaluation of curriculum and instructional practices in the U.S.A., I am not optimistic about fundamental change and improvement of those practices. Attempts by faculties to renovate and innovate degree programs and instructional practices are beset with difficulty because of indifference, ignorance, and conflicts with personal and departmental interests and aspirations. The tendency is to add courses, increase content coverage, and thereby increase program costs without improving quality. Yet I am well aware of the difficulties involved and sympathize with the professors who are responding to diverse and conflicting pressures and a changing conception of the role of higher education. Accordingly, my intent in this paper is to sketch an approach to curricular and instructional development that is a natural extension of past efforts but leads to a fundamentally different approach to teaching.

## 1. Background Considerations

Despite the emphasis placed upon curriculum and instruction, they are but means to achieve significant student learning. Most planning of curriculum and instruction is based upon faculty preconceptions and institutional convenience rather than on students and their learning processes.

Most of the writing and research on teaching has focused upon teacher performance in the classroom for a particular course. Little attention has been given to course and program structure and sequence and to the teacher's role as a facilitator of significant long-term learning. If education is regarded as a set of experiences directed to making students fully human and involving both individualization and socialization, it follows that it is necessary to rethink curricular and instructional practices in references to the learnings desired and the

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steps to their attainment. More attention should be given to what students do and learn outside the classroom. The classroom experience should be regarded and evaluated as a means of encouraging significant learning.

**2. Humanization and Learning**

A modest, reasonable, and yet highly significant goal of education is that it helps individuals to lead lives satisfying to themselves and those around them while contributing to the attainment of peace, justice, beauty, and truth for all mankind. Education is then a process of humanization. In the absence of sound and accepted theological, philosophical, psychological, or sociological evidence documenting the humanizing forces present in mankind, any characterization of these forces must be arbitrary. The following list and discussion present one way of noting the several humanizing forces operative among mankind:

(1) a complex social organization involving specialization, interdependence and collaboration;

(2) a long period of dependence for both maturation (infancy and childhood) and old age;

(3) the possession of self-awareness and capacity for self-criticism;

(4) a capacity to make and to use tools for thought (mathematics, logic, language), and manipulation (technology);

(5) the development and use of language as a tool for thinking and expression;

(6) the purposeful modification and use of the environment to supply the basic needs of food, clothing, shelter, security, health, and affection and to attain other desires and aspirations;

(7) an urge to explain the world and human presence in it;

(8) an awareness and commitment to values rising above basic needs and aspirations;

(9) an ability to think beyond the immediate time and space, including awareness of the past and concern for the future;

(10) the capacity to engage in abstract, value-free thought and to reach value-based judgements;

These ten forces or abilities are so interrelated that the number could readily be condensed to four or five. The long period of dependence conditions the social structure and using could be interpreted to include language development

since language itself is a tool. Language, in turn, permits and encourages abstract thought, including thinking about values. Independence of time and space depends upon language, upon means for expressing and understanding ideas and upon the urge to explain the world and man himself.

A humanistic view of higher education includes a commitment that higher education experiences should help students to recognize, reinforce, and integrate these humanizing forces. Thereby learners achieve their individual human potential in greater measure and contribute more significantly to human society than would otherwise be the case.

An understanding of the nature and role of disciplinary-based thought or the development of human consciousness is an essential aspect of humanistic education. All disciplines are part of the human effort and heritage and, collectively, they constitute the humanities. Understanding of and being able to internalize, to adapt, and to apply the essential nature and procedures of the disciplines in life experience are more important than acquiring and filing isolated items of information that are often irrelevant to contemporary or future concerns.

If the view is accepted that teaching is directed to assisting learning, then good teaching is an activity depending upon adaptive interactions between learners and teachers. Teaching much be based upon the situations in which that learning takes place and upon the subsequent situations in which it may be used. Therefore, the characteristics of good teaching are determined in large part by the characteristics and aspirations of the learners.

Significant learning transcends content and is the composite result of learning from the entire array of courses taken by a student. Significant learning has taken place when an individual has grown, developed, or matured in ways that have relatively little relationship to specific courses and content.

1. Significant learning has taken place when the learner displays independence, initiative, and originality in interpreting and reacting to problems and questions.

2. Significant learning has taken place when an individual is able to interpret, to understand, and to use words, concepts, and symbols to think and to make judgments.

3. Significant learning has taken place when an individual can effectively communicate with others about issues or ideas and about personal commit-

ments, activities, and plans in reference to them. This and the preceding statement recognize that language is a tool for ordering and understanding the environment and human activity in it.

4. Significant learning has taken place when the concepts, symbols, and ways of manipulating them have been understood and so organized that the individual can analyze and organize the universe and immediate environment in a personally meaningful way. In many respects, as with scientific hypotheses and theories, it is less important that the structure and its inherent explanations be "true" than that they be useful in:

- simplifying, understanding, organizing, and recalling information.
- integrating and reinforcing knowledge,
- interrelating knowledge – the old with the new and the elementary with the advanced,
- generating new ideas and explanations,
- applying or transferring knowledge to new problems and circumstances.

Otherwise, education only replaces one set of biases and rigidities by another perhaps more timely but ultimately no less confining.

5. Significant learning has taken place when the student comes to regard a teacher as only one of many resources available to help make learning easier. The mature learner becomes his own teacher.

6. Significant learning has taken place when an individual exhibits the ability to adjust to multiple and conflicting demands by appraising their relative importance and assigning to them priorities based upon a personal set of values.

The preceding six criteria of significance obviously could be rephrased as objectives or as competencies. They transcend the content and coverage considerations upon which most courses, outlines, or syllabi are based. Their attainment requires personal growth or development over time. Nevertheless, any course or teacher that does not foster these developments has a very limited and dubious perspective. Courses, content, and teachers are obviously only means rather than ends in themselves. Yet the significance of an individual step in a stairway is enhanced rather than depreciated by recognizing that the collective contribution of the steps is that of moving an individual from one level to another over a space not readily covered in a single leap.

If our concern in an educational program is with the education acquired by individuals, *good teaching can be defined and appraised only in the context*

*of what, how much, and how many students learn. The teacher is primarily a facilitator of learning.* Viewed in this manner, the obligations of the teacher include:

- motivating individuals to learn;
- selecting and organizing materials and experiences as to encourage sequential, cumulative learning that encourages integration across disciplines and application to both timely and timeless problems;
- adaptation of learning materials, experiences, and their presentation to the particular problems, context, and students in order to enhance learning while minimizing risk to the learner;
- individualization of experiences by reference to student learning ability, stage of maturity, past lerning, and aspirations;
- exemplification or modeling of thought processes that students are to develop;
- evaluation of learning progress and of developing learner independence and competence.

The implications of these obligations for the evaluation of teaching are clearly evident.

### 3. The Nature of a Discipline

It is not altogether clear what a discipline is, and there are numerous indications that there is no agreement among professors as to what constitutes a discipline. Nevertheless, the concept is strongly evident in academic organizations, in degree program specifications, and in statements of general or liberal education requirements. The nature and role of the disciplines require reconsideration.

There are five different types of components present, to various degrees, in all disciplinary structures. Awareness of these helps to clarify the nature of a discipline.

**Subject Matter or Problems Component.** Physics, for example, deals with time, mass, and motion and with their interrelationships. Viewing matter or masses in rest or in motion over time, we may see various processes going on, select those that are of interest, and ignore others. The decision about the subject matter or conceptual structure of a discipline may be focused as much upon specifying what the subject matter of the discipline is *not* as on what

it *is*.

**Language Component**. In defining the phenomena of interest, a discipline requires a symbolism whereby particular elements can be identified and relationships among them defined and explored. This is partly definition, partly a simple labeling; but, in general, it is a move from the real world to a set of ideas that can be manipulated entirely in the mind or on paper by direction from the mind. Language is an imposition on reality. It is an attempt to extract those elements of the reality that are the focus of attention while ignoring others. Language introduces some ambiguity since words and symbols often take on implications or suggest meanings that go beyond what is intended. The sign (x) used for multiplication, for example, is used to indicate numerous operations or relationships, some of which are far different from the use in arithmetic to which most people are accustomed. The linguistic or symbolic component of a discipline facilitates thought, but it also directs and may confuse it.

**Search and Organizing Processes**. A discipline develops out of a set of search and organizing processes, that might be described as the grammar of the discipline. This component is more fundamental than either the subject matter or the linguistic components in that, once the search processes of a discipline are reasonably clear, they may be applied to a set of problems different from those from which the discipline arose. The words, mathematical expressions, and symbols selected may also be altered for convenience or uniformity. The search and organizing processes are concerned with disciplinary principles, procedures, and skills, and with the assumptions or limitations that define a field and mode of inquiry.

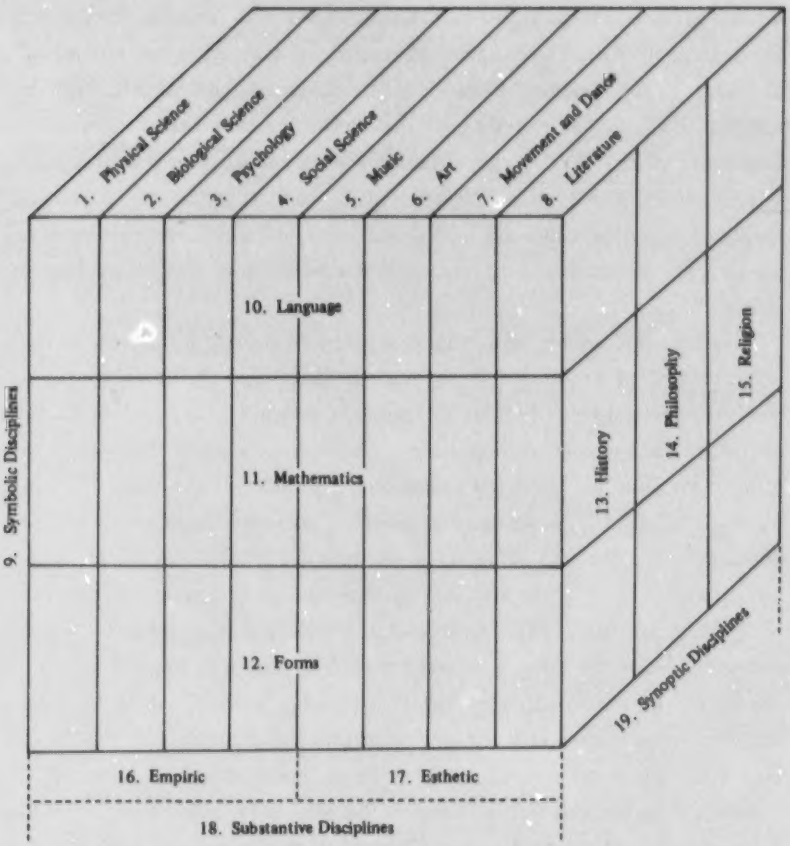
**Value Component**. Every discipline includes, implicitly or explicitly, some value commitments about what is worth studying and how it should be studied. Truth, beauty, and justice exemplify major values to which mankind has directed its attention. These values change with changes in the real world. One such change is in the views held about individuals. Authoritarians, both in the past and present, seeking to impose goals or conceptions of a good society, may be convinced that the nation or a particular cause is more important than individuals. Thus, they regard individuals as means rather than as ends. All disciplines are attempts to establish *order* and *understanding*. These two concepts are themselves values of high significance, particularly when further explicated by taste, style, simplicity, appropriateness, and universality.

**Relation to Other Disciplines.** Every discipline is related to other disciplines. One very clear common element is their composite in that the totality of disciplines represents the various ways in which the human mind has sought to explain the world and man's environment in it. Disciplines result from human efforts at understanding and grasping meaning. This becomes clear when one reviews the way knowledge has been acquired and organized into an increasing number of disciplines. But as disciplines have been linked to particular problems they have so narrowed their focus that no one discipline can deal with our many concerns. For example, behavior has become a focus of cencern in many disciplines with no one discipline capable of dealing fully or adequately with it. Despite the existence of many interdisciplinary educational programs and courses, there is continuing difficulty in sufficiently integrating knowledge across the disciplines to fully understand and resolve particular social problems.

Figure 1 exhibits the various disciplines (or realms of meaning as defined by Phenix) in a way that points up certain interrelationships. On the left, along the vertical axis, are arrayed the language, mathematics, and nondiscursive symbols or forms. Language, as here used, indicates the assignment of words as ways of referring to and talking about objects or ideas. These words are conjoined in various ways with connectors and modifiers into sentences, paragraphs, and longer statements and, by various manipulations, provide means of thinking and communicating about ideas over all areas of knowledge. Mathematics, on this same vertical dimension, indicates the use of numbers and symbols elaborated into various forms and modes of analysis. Mathematics, as considered here, is a means of thinking and communication that draws upon, but is different from, mathematics as a discipline of knowledge and method. The third element on this dimension is that of forms with assigned meanings. There are found in mathematics as symbols (+, −, x). They are found in religion in the form of various symbols (a cross +) and rites or gestures. Even the language used in some religious rites becomes essentially a form, since it is rotely repeated, with no immediate sense of meaning. The disciplines of language and mathematics should be viewed for undergraduates as areas of fundamental knowledge and skills and taught in such a way as to be useful in all other disciplines.

The horizontal dimension of Figure 1 includes a group of sciences (physical science, biological science, psychology, and social science) that are essentially

Figure 1. **An Organization of the Disciplines**




**Symbolic Disciplines** . . . means of thought, understanding, and communication

**Substantive Disciplines** . . . primary areas of knowledge (empiric and esthetic) and means of attaining, testing, and organizing it

**Synoptic Disciplines** . . . interpretation and integration of meaning

**Empiric** . . . observation and generalization

**Esthetic** . . . sensation, feeling, emotions

empirical in nature. In these empirical sciences, data are collected and analyzed by various methods. The general concepts, laws, and principles that emerge from these analyses are the discipline's primary concerns.

The esthetics domain (music, art, movement, and literature) is approached through study of individual works. The importance of a particular work is to be found in that work. Language, mathematics, or ther forms are not actually necessary to the creation of knowledge in music, art, and in movement, but without them neither recording of that knowledge nor analysis is possible. Literature differs from the other esthetic areas because language is used to create this literature. Words, phrases, and sentences, then, are somewhat equivalent to sounds in music, to colors and media used in art, and to separate movements of dance. The empirics and esthetics combine to make up the substantive disciplines.

History, philosophy, and religion attempt to provide a different kind of understanding of knowledge in the various disciplines. They are wholly dependent upon symbolics for thought and communication. Each of the primary disciplines has a history and has made a major contribution to the development of history. Thus, to understand a discipline, knowledge of its historical development is crucial. And, in viewing the history of man and his interaction with the physical world, one must draw upon not only the separate disciplines but the interrelationships of them and seek general insights that transcend particular bodies of knowledge. The several substantive disciplines are artifacts of man's endeavors and, while there is, to some extent, a philosophy implicit in each of the disciplines, the broader approach to philosophy transcends these disciplines. Religion depends upon language and sometimes (for example with the Trinity) on mathematical concepts and symbolic forms, but it also relies upon the relationships, organization, form and matter that arise in the substantive disciplines. Religion is an attempt by man to reach out beyond the immediate world and to find ultimate answers, both about the origins of man and the physical world and the ultimate fates and purposes served.

Morals, ethics, and personal development are not included in Figure 1. They appear as substantive and value components in the social sciences, psychology, literature, history, philosophy, and religion but they are not in themselves disciplines. Personal development and commitment are influenced by learning, but they are not separable parts of the formal processes of education.

The characteristics and the patterns of meaning exemplified in the various disciplines should guide teacher selection and organization of course content. But learning about the structures and interrelations among the disciplines, students will come to recognize the connections between their education and the larger patterns within the disciplines and to learn to search for interdisciplinary solutions to complex academic and societal issues. Humanizing education encourages comprehension of the disciplines as a means for attaining meaning and deepening understanding whether as an individual, as a member of a democratic society, or as a worker.

**4. Implications**

The disciplinary approach to curriculum and instruction views disciplines both as organizations of accumulated knowledge and as means of acquiring that knowledge. A discipline includes, because of its origins in reality or in human concerns extending beyond reality, enactive (manipulative, performing), iconic (pictorial, graphic, representational), and symbolic (words or signs) aspects that can be used to expedite understanding. There is economy in learning through disciplines because knowledge is organized and constantly reinforced by addition and modification. Disciplines have power in promoting understanding and communication and provide control and predictability.

Nevertheless, recognition of the power and worth of the disciplines must not obscure the fact that disciplinary boundaries are arbitrary and unclear, and that *the primary role of education is as a humanizing process rather than as a process of disciplinary mastery*. Most students will neither become nor act like professors in particular disciplines. Whereas the disciplines have come to have intrinsic value to the specialists in them, the learner seeks for their extrinsic values in providing meaning and direction for personal development and for living in a democratic society. Curricular and instructional experiences within each discipline should develop learnings that are transdisciplinary in nature.

With occasional exceptions, courses that explicitly attempt to provide interdisciplinary or transdisciplinary learning experiences have not been highly successful. Faculty enthusiasm for them soon fades. Moreover, they have usually and quickly become bogged down in content coverage. I propose that a transdisciplinary approach through the disciplines should be developed. This

requires rethinking of the curriculum, of the courses in it, and of the instruction provided therein. The following suggestions indicate ways of accomplishing this.

## 5 The Role of Transdisciplinary Concepts in Learning

Integrative, transdisciplinary concepts are important in learning because they permit the individual to organize learning and to apply it intelligently to new situations. To illustrate this statement I now wish to suggest four of the many concerns and concepts that transcend the disciplines yet are important in each.

1. The development of a useful set of categories and the criteria for classifying within these categories the entities under inquiry are major components of every discipline. A multiplicity of terms – classification, categorization, stratification, separation, taxonomy, typology – indicates the tendency to break large groups into homogeneous smaller ones.

2. Units of measure and principles for counting, ordering, or sequencing across the disciplines are important; these vary form counting and use of various types of measurement based on some unit to other unique measuring devices predicated upon particular qualities of the phenomena. The extent to which measurement and principles for ordering and sequencing are to be found in all disciplines becomes more apparent when the word *measurement*, which implies fixed units and a quantitative approach, is augmented by words that admit qualitative characteristics. Such words include *comparison, discrimination, ranking, evaluation,* and *judgement.*

3. Each discipline is concerned with a range of relationships among the entities defined within its boundaries. Sociology studies groups and the collective behavior of individuals as they operate in groups. Psychology focuses upon individuals and the interrelationship of a number of identifiable characteristics of individuals. Study of these relationships helps to clarify and explain social entities, but such study also produces hypotheses that, in turn, permit investigations extending the range of disciplinary principles. *Consistency*, in its various meanings (agreement, conformity, uniformity, accord, harmony, consonance, regularity, continuity, symmetry, homogeneity, and complementarity), is highly prized in the sciences, the arts, and in history, religion, and philosophy. But complete *uniformity* is viewed as unlikely and even inimical to *equity* and

recognition of *individuality*.

4. Much of mankind's efforts over the centuries has been directed to understanding and, through understanding, to achieving some sense of the meaning of life. These efforts can be characterized as a search for *balance* between *variance* or *change*, on the one hand, and *invariance, security* or *constancy*, on the other. If everything is fixed, there is little opportunity for individuality or creativity – man is condemned to an animal existence. On the other hand, if nothing is fixed or predictable, man lives from moment to moment and with no opportunity for thought or planning – again, an animal existence. The interplay between change or variation and constancy or invariance is apparent in all of the disciplines. Man seeks for *unity* in *variety*, for *symmetry* and *order* in *confusion*, and for *opportunity* with *limited risk*.

There is no area of knowledge in which inquiry can be carried very far without use of such concepts. In addition, the inquirer's attention is given to such matters as precision, accuracy, correctness, rightness, exactness, validity, and reliability – in other words, not only to meaning in relationships, but to how far relationships can be specified in quantitative or qualitative terms.

I have attempted to outline briefly the components of an integrative humanistic approach to education by discussing the disciplines and by identifying a number of significant transdisciplinary concepts. I have suggested some of the human aspirations and problems involved in mankind's continuous search for meaning, balancing demands for constancy and uncertainty, on the one hand, and change and improvement, on the other. However, these suggestions do not provide a formula for a transdisciplinary approach. Indeed, if there were such a formula, transdisciplinary teaching would become as routine and dull as is much of disciplinary instruction. The comments here presented reinforce my view that curriculum and instruction are but means to facilitate significant learning which must be based upon but must also transcend the disciplines.

# PILOT INSTITUTES FOR HIGHER EDUCATION REFORM IN KOREA

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This international seminar at Hiroshima University is vitally concerned with the development of higher education in relation to curriculum and instruction. I feel it is appropriate for me to speak to you about Korea's experiences with pilot institutes, insofar as they can be considered test cases of higher education innovation.

## I. Introduction

Not only Korea, but all countries of the world are experimenting with new educational approaches in an attempt to fulfill social and economic needs. Most developing countries are trying to find appropriate ways to overcome the isolationism and historical constraints of the past. There is a never ending struggle to improve the ways and means of dealing with these national problems which will inevitably arise in the future. Korea's experiment with "pilot institutes" has been an attempt to keep abreast of this worldwide trend.

The implementation of model programs by leading pilot institute has been a watershed in the history of higher education in Korea. It was based on pioneering research conducted by a number of elite Korean universities. The program involved a completely new approach to the development of higher education. This novel approach has had several unique characteristics. It respected each pilot university's autonomous decisions, thus there was close cooperation between the universities and the Ministry of Education, and additionally cooperation and exchange of relevant information between the pilot institutes. All these innovative programs were introduced gradually in order to avoid potentially detrimental effects.

The pilot institute trial program began in 1973. Ten universities were chosen as pilot institutes, and in 1980 43 universities joined the experiment.

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The government in 1981 expanded its efforts to improve the quality of higher education in all universities in the country, as a part of its program for normalization of education. And as of 1982, 97 universities in the country were participating in the various educational reform programs. Reduction of credits required for degrees was one of their more salient characteristics.

The pilot institute experimental programs have yielded fruitful results, and helped pave the way to acceptance of additional innovative programs in other universities. But it is true, however, that many problems still remain to be solved.

Now let us briefly examine the history of the pilot programs, and the major problems the pilot institutes were designed to solve.

## II. The Preparatory Period

The origin of the pilot institute experiment is an essential part of the historical development of higher education in Korea since 1945.

### A. Three Stages in Korean University Education Development

The initial period of development stretched from 1945 to 1960. This period can be regarded as a laissez-faire stage in university education. The number of college students increased enormously in spite of the inadequate educational environment (e.g., want of faculty, insufficient buildings, equipment and facilities, etc.). The result was a marked decrease in the social prestige of universities.

The second period of development occurred from 1961 to 1970. This period was characterized by strict control of universities by the Education ministry. Immediately following the May Sixteenth Military Revolution, various measures were enacted to upgrade university standards. From 1961 to 1962 qualifying examinations were required for B.A. degrees, and the admission quota system was introduced in 1966. From 1969 preliminary entrance examinations for college applicants were instituted as a means of improving the quality of university students and instruction. Even though these control measures produced some unexpected results, they have also contributed to raising the social prestige of universities and colleges by improving the content of college level instruction.

The third period of development was from 1971 to the present, a period of

reform, that combined aid and control. The Ministry of Education loosened its legal and institutional controls over those universities with autonomous management capabilities, and thus they encouraged voluntary reform and significant progress. On the other hand, the government continued to exert control over those institutions with insufficient capabilities of autonomous management and development. It was then that the government for the first time in Korean educational history sought far reaching systemic changes. This bold new model program culminated in the establishment of the pilot program experiment.

B. Establishment of the Higher Education Committee in the Educational Policy Council

From the 1970s Korea, like many other countries of the world, became deeply concerned with reform in higher education. In 1971 the Ministry of Education created a higher education committee in the Educational Policy Council to oversee the projects for reform in higher education. This committee consisting of 35 members, was created in accordance with the Educational Policy Council's statutes adopted on the 22nd of July, 1971.

This committee designated 1972 as the year for study of higher education reform. Two large-scale symposiums to help formulate ideal plans for reform in higher education were held. One of these symposiums encompassed a series of regional "seminars for preparation of reform plans for higher education". Participants were regional representatives of higher education in Korea. The second symposium was an international symposium created to stimulate discussions on problems of higher education reform and research.

C. The Regional Seminars

The series of regional seminars was held in 11 regions from December 1971 to April 1972. They attempted to locate the problems faced by higher education in Korea through constructive discussions with higher education faculty and staff, and people from all walks of life. The seminars were attended by university presidents and college deans, deans of academic affairs and professors, high school principals and administrative staffs of educational councils of various cities and provinces, and representatives of the mass media, and Korean industry. The total number of participants exceeded 700. It was an unprecedented event in Korea, and was a truly democratic arrangement, providing

for an exciting and challenging exchange of ideas.

D. The International Symposium

The international symposium was aimed at collecting opinions and advice on higher education from authorities from all over the world, in order to refine our plans for innovation. The symposium had as participants, some 1,200 prominent educators from ten countries, including Korean higher education authorities and administrators. In the symposium which continued for four days there were 15 papers presented and six meetings of discussion groups which were conducive to producing a meaningful dialogue on higher education innovation.

E. Plans Drawn Up by Each of the Major Universities

At the same time that the regional seminars and the international symposiums were being held, major universities were requested to draw up and submit their own plans for reform. The Seoul National university, Ewha Womans university, Korea university and Yonsei university announced reform plans suitable to their own respective circumstances. Most of these plans were based on the "pilot institute" programs, involving the reduction of required credits, admission of students by major groups or fields rather than by specific majors, and introduction and enforcement of minor or double major systems.

F. The Basic Principles and Strategy of Reform

The following principles were established for higher education reform based on the findings of the regional seminars, the international symposium, and the plans submitted by the major universities:

1. Establishing the higher education principle that enables higher education organs to contribute to the development of the country and regional communities, and renovate the functions and organizations of higher education accordingly.

2. Provision of more flexible administrative systems for more effective management of higher educational organs.

3. Establishment of a mutual complementing system for qualitative improvement of higher education among higher educational organizations.

4. Positive support by the government for specialization of universities

in response to the needs of the regional communities.

5. Establishment of a cooperative system to act as a bridge between higher education organizations, government offices, and community leaders in the same regional communities.

In summary, the two basic principles of reform were the establishment of closer coordination between the community's needs, and the functions of higher education organizations, and elimination of inefficient internal elements by the universities themselves.

In accordance with such basic principles, three promotional strategies for higher education reform were selected:

First, gradual reform through experimentation with pilot institutes.

Second, development of areas of specification for universities.

Third, reform through long-term research and evaluation.

## III. Major Contents of Reform

Having established these basic principles and strategies, the Ministry of Education appointed ten major universities as pilot universities for a trial reform program in higher education in 1973. The major contents of reform included: first, reduction and readjustment of credit requirements. This stipulation was designed to improve the contents of instruction; second, the admission of students in major field groups rather than into specific departments; third, the utilization of minor areas of concentration to enlarge the students' intellectual horizons and enhance their job proficiency. The Education Ministry required the pilot institutions, to simultaneously implement all three reforms mentioned above, with exceptions for some specific areas. Now I would like to examine the results of the experiments during the past decade.

### A. Curriculum Administration

1. Reduction in degree credit requirements

Credit requirements were reduced from 160 credits to 140 credits. The Ministry of Education called for this reduction in order to: prevent over-specialization in the content of instruction; to eliminate duplication in over-lapping courses of instruction; and improve the contents of instruction. In fact, the 160 credit hours requirement was greatly in excess of usual credit requirements in other countries.

But several conditions had to be met before there could be effective implementation of this reduced credit requirement system. These intended changes included enlarging library holdings to enable students to study on their own, improving instructional methods, revamping the teaching assistant system, securing an adequate full-time teaching staff, and reducing the faculty teaching load. Lamentably, these conditions have not yet been fully met.

In all pilot institutes, the required credit earnings were reduced to 140 for all students except those majoring in medicine, veterinary medicine and pharmaceutical science. This reduction was based on the premise that, with improvement in teaching and evaluation methods, reduction in credit earning would not necessarily compromise academic quality.

It is essential that students be encouraged to study and do research on their own outside the classroom. At a university like MIT, for example, autonomous study hours required of students are included in the credit earnings. MIT requires 360 credits for graduation but they include (a) classroom instruction hours, (b) laboratory hours, and (c) autonomous preparation hours. In the university bulletin the three types of hours are specified for all courses, but credits that could be earned differ owing to other factors. For example, credit hours for Principles of Economics is specified as 3-0-6 (a-b-c), and those for Liquid Dynamics 3-3-6 (a-b-c). Even though both courses require three hours in the classroom per week, the credit earnings differ according to laboratory hours and the preparation time. This seems a very sensible method of designing a curriculum.

In Korea, those courses requiring laboratory practice are set up as separate courses with separate credits. Independent work of the student takes the form of a student paper, which is used in the overall evaluation of the student in a course. Debasing of academic standards which might arise because of the reduction of credit requirement was forestalled by the careful allotment of student time.

2. Reform in curriculum structure

A big readjustment of curriculum followed the reduction in the credit requirement. A good many undergraduate courses were made into graduate courses, and many two-semester courses were changed to one-term courses. The maximum credit hours per course were limited to three. In most pilot institutes, general education courses were reduced in number and variety.

However, most universities still require students to obtain 42 to 70 credits hours in general education which exceeds the 30 per cent required in the credit earning guidelines.

As for credit requirement in major fields of study, they now range from 40 to 70 credit hours, depending on the university and the areas of the majors, but most universities require around 50 credit hours. And, the number of credits earned in required major courses is in most cases less than 50 per cent of the total major credit requirement. These allow students to elect subjects in the area of their concentration. This flexibility has meant marked reduction in compulsory credit requirements and compulsory courses in major fields.

At the same time, students were allowed to take credits in non-major fields. Thus, students were simultaneously enabled to take more courses outside their major area. This in turn has decreased departmental isolationism and increased opportunities for students to enlarge their intellectual horizons. The increased freedom of choice was on the whole welcomed by students.

Universities are urged to solve any problems that arise from the reduction of credit requirement in major fields by integrating courses and improving the methods of instruction. The students are, of course, allowed to take more courses in their major fields if they want to, since the required credits specify only the minimum. It is true that the reduction of required credit earnings in major fields can lead to students becoming underqualified, but it is possible to induce students to augment their knowledge of their major fields while at the same time allowing them maximum freedom in the choice of courses.

In the reform of curriculum structures, all universities are allowed to administer the program flexibly. But, in my opinion, still greater freedom should be allowed for students to choose courses befitting each individual's needs.

3. Reform in methods of instruction

Since the launching of experimentation with pilot institutes, all universities have been making positive and continuing efforts to improve methods of instruction.

First, all instructors are required to submit syllabi for their forthcoming courses, to be distributed to students prior to registration, so that the students can determine their readiness for the courses for which they register.

Second, students are required to submit reports of outside study, so that they, in effect, must study on their own. Especially in laboratory courses,

participation of each student in the experiments is required.

Third, evaluation methods are diversified, and fair evaluation methods are sought.

Fourth, utilization of teaching aids such as audiovisual equipments, and improvement of facilities that will help the application of educational engineering methods are sought.

Fifth, improvement of textbook materials has been actively promoted, with the result that a total of several hundred teaching materials have been developed, through the three areas of instruction, general education, basic subjects, major subjects.

B. Admission of Students in Major (Area) Groups

Another notable feature of the pilot institutes' program was the admission of students in major (area) groups instead of into specified major departments. Students, who must choose their major fields at the time of application could now in the pilot institutes re-examine their aptitudes and inclinations while taking general education courses in the first and also sometimes in the second year of study, before they choose their major.

This system was instituted as a corrective against the unhappy consequences suffered in the old system under which students had to choose their major without fully knowing their aptitudes and inclinations and consequently lost enthusiasm for study.

However, the new system also has its problems. The most important of these problems is how to provide guidance to students in the year(s) before they decide on their majors. Another important problem is how to deal with the problem of the concentration of students in a few popular departments. Should we impose some kind of restriction on the admission of students into separate departments at the beginning of the sophomore or junior year? If so, what problems might result in the future for these pilot institutes?

Many universities which experienced adjustment problems are modifying their admission policies and many of them have reverted to the departmental admission policy. In other words, contrary to the initial expectation, admission by major groups has not yielded hoped-for results. As of 1982, most major universities are admitting students in major groups only partially and for the most part admit students into specified major departments. One of the im-

portant reasons of this change is that students admitted by major groups suffer from a sense of not belonging and distance from their professors in their first couple of years of study.

C. Minor and Double Major Systems

Most pilot institutes also required or positively encouraged students to choose minors also. In order to facilitate the students' choice of minor field studies, the universities reduced the number of required courses in the major fields and tried to arrange the class schedules so as to avoid conflicts in scheduling. But some of the universities forbade students to take minors unless they had received grades above a certain grade point average, or to choose minors within an area related to their major study.

It is highly desirable that students choose minors and thereby expand their intellectual horizons. Modern society is in need of men and women with multi-disciplinary training.

The double major system enables a student to earn two bachelor's degrees in five years or more of attendance, or it allows a student to go on to earn another bachelor's degree by spending year or more of study after the first bachelor's degree.

Whether the student proceeds to graduate school or to work at an ordinary profession, multi-disciplinary training is desirable for some jobs and in some cases desired by students for its intrinsic educational value. In reality, however, a relatively small number of students have taken advantage of this double major system, probably because of the increased time required.

D. Other Related Plans

1. Allowing credit earnings according to students' ability

This is a plan for allowing those students with academic capability to acquire excess credits. The details of this plan include: allowing only those students with proven academic capability to acquire excess credits; applying limitations to credit earning in cases of students with inferior academic capabilities, and crediting students with course completion by special qualifying examinations.

The number of students whose credit earning has been limited due to inferior academic capability is greatly in excess of those students who have been allowed to earn extra credits by virtue of proven academic capability. The

standards for both vary according to universities, but in general excess credit earnings are allowed to students who attain over a 3.5 grade point average (on the A-4, B-3, C-2, and D-1 points scale) and limitation of credit earnings are enforced on students with grade point averages of 2.0 and below. Placing of limits on credit earnings follows academic warning, and some universities expel students who receive academic warnings three times.

Not many students try to take advantage of the system of allowing students to earn credits on the basis of special qualifying examinations. Successful students are extremely few. Special examinations are given by some unviersities for this purpose in Freshman Korean, English, German, French, Japanese, Chinese, Chinese letters and mathematics. Indeed, the methods and time of examinations need to be reviewed. The system's merit is that it enables superior students to take more advanced courses in lieu of the freshman level courses.

2. Summar and Winter Schools

This is a system utilizing summer and winter vacations to give concentrated instruction. Students' autonomous study and research are also encouraged in the summer and winter schools. As of present, on the undergraduate level, summer and winter schools usually offer courses in general education and basic courses in the major fields.

But the summer and winter school systems are utilized most often in professional graduate schools. For example, there are graduate schools of education in many cities and provinces of the country and many high school and middle school teachers register for these summer and winter graduate school programs. Most of these schools offer both degree-and non-degree programs.

3. Developing strong special areas in particular universities

The policy for encouraging universities to develop specialization has been promoted to help the universities to meet community needs and to facilitate effective internal administration by universities. Support was given by increased quotas for agricultural, engineering, marine and fishery department. This was also companied by administrative and financial grants given in 1974 to 18 universities and colleges help them to specialize. From 1976, support was given to colleges and universities which aim to specialize in engineering to help meet the manpower demand for qualified engineers in heavy industries.

The specialized universities and colleges were allowed to drastically reduce the number of required credit earnings in general education courses and to

emphasize laboratory requirements in all major courses. Financial assistance was given for facility improvements and recruitment of teaching staff. However, criticism of 'excessive short-term aims' are raised because some of these institutions have reduced credit requirements in general education courses too drastically (for example, for 50 to 14).

Furthermore such reduction is contrary to the aim of enlarging the students' intellectual horizon which is the rationale for the pilot institute trials program in the first place.

Fundamentally, the two great aims of higher education reform was experimentation with pilot institutes and specialization of universities. But there was a conflict in principle. Sometimes specialization was promoted in a pilot institute so that such an institute had to administer curriculum according to two conflicting dictums.

From 1981, with the enforcement of the education normalization policy, all universities in the country had to adopt the reform plans of the Ministry of Education, and specialized universities experienced great difficulties in curriculum administration , mainly in the area of general education courses.

4. Graduation quota system

In the past, the university quota system has always been an admission quota system. But, from 1980, the government decided to enforce a graduation quota system. It was a reform measure aimed at rooting out the problem of "extra hour" studies to high-school students for passing university entrance exams and normalizing the educational process. The idea was to open up the gates of higher education institutions, to make students study harder while in college and to ensure graduation only of qualified students.

With the enforcement of this system, all universities admitted students in numbers exceeding the graduation quota by 30 per cent. The system also involves expulsion of students with poor academic records at the end of the first, second and third years in addition to withholding degrees at the end of the fourth year. It is generally admitted that the graduation quota system has helped students become more diligent while attending college. But, because the system was uniformly enforced in all universities in the country, regardless of facility-and staff-sufficiency, all the universities are agonizing over the many social effects.

There has been criticism in many quarters of the graduation quota system today and difficulties that may ensue have been pointed out. Question has been raised, for instance, about the equity of a system that ignores the possibility of disqualified students of University A may be better students than the graduates of University B. It has also been pointed out that accumulation of non-graduates may constitute an important factor in social unrest in the future. It is fortunate that the Ministry of Education is known to be studying plans to improve the existing system. "The graduation quota system is a device to lead our universities to higher academic standards," said the Minister of Education in a recent announcement. "Our purpose is not elimination of deserving students. It would be desirable, therefore, to leave the whole matter to the autonomous decisions of the universities concerned – when the universities have come to possess the capacity to graduate only qualified students without resorting to the system of compulsory elimination." He further explained that the method of eliminating 30% of the students enrolled at the universities under the graduation quota system is left to the discretion of the institutions concerned. Applying the quota system broadly to the students grouped according to Wide-spectrum divisions or more narrowly according to departmental lines is also a matter of choice for the institutions concerned as long as academic regulations of these institutions are strictly adhered to; and the same holds true of student transfer from department to department or from college to college.

## IV. Conclusion: prospects for the future and trials at present

The ultimate purpose of educational reform was to improve curriculum organization and the quality of instruction. There has been a rapid increase in the demand for higher education in Korea, and reform was inevitable to ensure quality in the face of such a drastic expansion in quantity. The reform, supported by the government policy and pioneered by leading institutions of higher education, was implemented gradually in an attempt to mitigate the negative consequences of precipitous change.

The fact that all universities in Korea could adopt the basic patterns of reform initiated by the pilot institutes was, in my opinion, due to the positive evaluation of the results of the experiment. However, there are still many problems that could only be solved by the combined efforts of the government and the institutions of higher education. In the Korean situation, even more

important than the reforms to be carried out on the national and social level is the reform each institute of higher learning has to implement in its administrative system.

For a university to accomplish its mission, it should constantly reform and amend its administrative system to meet the changing social and cultural demands on it. Whether or not the university can do so will determine its value in the eyes of society and how much contribution it will make to the community and the nation it is created to serve.

The fact is that many conditions have to precede before a university can autonomously implement the needed reform. Even when such conditions are met there may exist internal and external obstacles that could prevent a successful reform movement. A university may suffer terribly if it imposes too radical a reform on its entire structure, while it may be criticized as lagging behind the times if its reform plans appear partial. Each university must try to find the best and most suitable course of reform for itself.

I might add here that demands for educational opportunities upon the university are likely to grow greater with the increasing recognition of the need for lifelong education and the advent of the learning society. It is very likely that different kinds of higher education institutions, ones that will meet the various educational needs of the individuals and expanding society, will come into existence side by side with traditional universities. Multi-dimensional institutions of higher learning able to offer educational opportunities for the entire nation are expected to emerge soon. Universities will in that event have an incomparably harder time in adjusting to the new social and cultural changes.

In the future, institutions of higher learning will continue their efforts to restore quality, after quantitative expansion, followed by another quantitative expansion followed in turn by efforts to recover quality. They will exist in close connection and cooperation with institutions that offer lifelong education to all citizens. These latter institutions will have multiple functions, flexible structures and be administered dynamically to accomodate the educational needs of people of many age levels and professional interests. In the future society in which education will become more popular and more specialized, universities cannot remain the same in structure, management and curriculum.

There will be many changes in the future of higher education in Korea. The establishment of correspondence colleges, open colleges, many special graduate

schools, evening graduate schools, and closer cooperative system between schools and industries are all positive and necessary steps to meet incessant educational changes.

Can the Korean universities adjust with wisdom and foresight to the rapidly changing social and cultural conditions, and still maintain their academic excellence and their social and cultural leadership? Will our aspirations for the future prove to be rational and suitable ones?

Yes, we know that man cannot clearly foresee the future, nevertheless, man can create it. We realize that not all of our expectations and plans of today will be realized tomorrow. But we also recognize that the creation of a rich cultural climate requires the accumulated efforts of generation upon generation. Our plans and wishes today can only be realized by the unrelenting efforts of future generations.

Uncertainty will always remain a challenge to man's creative planning and cooperative efforts. But we must squarely face this challenge and strive to progress. Thank you.

## REFERENCE DATA

**Table 1. Quantitative Expansion of Universities (1945 - 82)**

| Year | No of colleges | No of professors (C) | No of students (D) | D/C (%) |
|---|---|---|---|---|
| 1945 (A) | 19 | 753 | 7,819 | 10.38 |
| 1952 | 34 | 1,220 | 31,342 | 25.69 |
| 1960 | 52 | 3,439 | 92,930 | 27.02 |
| 1970 | 71 | 7,779 | 146,414 | 18.82 |
| 1975 | 72 | 10,080 | 208,986 | 20.73 |
| 1980 | 85 | 14,458 | 401,401 | 27.76 |
| 1982 (B) | 97 | 15,502 | 515,780 | 33.27 |
| B/A (%) | 510.5 | 2,058.7 | 6,593.9 | |

**Table 2. Status of Higher Education Institutions as of April 1, 1982**

| | | Universities | Education Colleges | Technical Colleges | Total | A/C or B/C (%) |
|---|---|---|---|---|---|---|
| Public (A) | No. of colleges | 21 | 11 | 35 | 67 | 28.39 |
| | No. of professors | 5,198 | 471 | 1,268 | 6,937 | 32.53 |
| | No. of students | 145,180 | 11,040 | 26,585 | 182,865 | 24.94 |
| Private (B) | No. of colleges | 76 | 0 | 93 | 169 | 71.61 |
| | No. of professors | 10,304 | 0 | 4,081 | 14,385 | 67.47 |
| | No. of students | 370,600 | 0 | 179,620 | 550,220 | 75.06 |
| Totai (C) | No. of colleges | 97 | 11 | 128 | 236 | 100 |
| | No. of professors | 15,502 | 471 | 5,349 | 21,322 | 100 |
| | No. of students | 515,780 | 11,040 | 206,205 | 733,085 | 100 |

**Table 3. State of Graduate Schools as of April 1, 1982**

| | | Day Time Graduate Schools | | | Graduate Schools, Special Type* | Total | | | A/C or B/C (%) |
|---|---|---|---|---|---|---|---|---|---|
| | | PH.D. | M.A. | Total | M.A. | PH.D. | M.A. | Total | |
| Public (A) | No. of colleges | 14 | 14 | 14 | 27 | 41 | 41 | 41 | 24.26 |
| | No. of students | 3,964 | 9,560 | 13,524 | 5,850 | 3,964 | 15,410 | 19,374 | 30.59 |
| Private (B) | No. of colleges | 53 | 53 | 53 | 75 | 128 | 128 | 128 | 75.74 |
| | No. of students | 6,093 | 18,449 | 24,524 | 19,410 | 6,093 | 37,859 | 43,952 | 69.41 |
| Total (C) | No. of colleges | 67 | 67 | 67 | 102 | 169 | 169 | 169 | 100 |
| | No. of students | 10,057 | 28,009 | 38,006 | 25,260 | 10,057 | 52,269 | 63,326 | 100 |

* Usually operate evening classes for teachers, government officials, and business leaders.

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**Table 4. Changes in the System of University Entrance Examination in Korea**

| System of Entrance Examination | Period | Type of Examination: State Exam. | Independent University Exam. | High School Academic Records |
|---|---|---|---|---|
| 1. Independent University Exam. | 1945-1953 | | | |
| 2. Joint State Exam. | 1954 | | | |
| 3. Independent University Exam. | 1955-1961 | | | |
| 4. State and University Exam. Qualification Exam. | 1962<br>1963 | | | |
| 5. Independent University Exam. | 1964-1968 | | | |
| 6. Preliminary Entrance Exam. By State | 1969-1980 | | | |
| 7. High School Records, Preliminary Entrance Exam. by State | 1981 | | | |

Note: Represents major changes in the types of examiniation in the system of entrance.

# INNOVATIONS IN AMERICAN HIGHER EDUCATION: CURRICULUM AND TEACHING

PHILIP G. ALTBACH*

This paper has a simple – and perhaps somewhat pessimistic – theme: there is not a great deal occurring with regard to basic innovation in teaching and curriculum in American higher education despite the crises of the past decade. The one significant exception to this generalization is the growth of the "general education" movement. The fact is that the substantial student unrest of the 1960s resulted, in the United States, in relatively little lasting change in higher education.[1] And the problems posed by demographic changes, increasing vacationalism, and declining funding from governmental sources have not resulted in significant change in teaching methods or in the curriculum.

Despite this overall pessimistic conclusion, there have been some innovations, and this paper will consider them in general terms. Academic institutions have opened access for non-traditional age groups, have made it easier to temporarily stop academic studies, and in general have tried to cater to older students. There has been an adjustment to the changing curricular interests of many students and a resulting increase in vocational specialities. There has been a revival of interest in general education – the reform of the undergraduate curriculum to stress a unified approach to the study of modern society, culture and science. It is fair to say that there is no evidence of significant changes in teaching methods or in the philosophy of teaching. American academics, under considerable stress because of changing student interests have in some cases retrained themselves to teach different subjects, but the methods of teaching have not been altered significantly.

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**Curricular Innovations**

Clearly, what is one person's innovation is another's reactionary development. Thus, when one speaks of innovations, there is no value judgement intended. We are, rather, concerned with changes from the previous norms regardless of the orientation of the change. One of the key curricular trends of the past decade has been caused by changing student demand. American higher education has been traditionally fairly responsive to student demand in determining the direction of the curriculum. After the major demand for "socially relevant" courses such as sociology and political science during the 1960s, student concerns became much more conservative and vocationally oriented in the 1970s. In a period of economic difficulties, students were more concerned with academic specialities that would be useful on the job market. Further, the decline in the market for college teachers meant that careers in the humanities and social sciences diminished considerably, causing a decline in graduate enrollments. Fields like pre-law, pre-medicine, management, engineering, accounting and others attracted students.[2] Academic institutions tried to expand their offerings in these "high demand" areas and without any conscious planning readjusted elements of the curriculum as a result. Course offerings in unpopular areas such as history, foreign languages and some of the social sciences generally have diminished and faculty members have decreased in number in these areas. There has been a concomitant growth in the professional areas.

The arrangement of the undergraduate curriculum, which lost much of its coherence during the period of specialization during the late 1950s and later as a result of student pressures against "rules" in the 1960s, permitted such dramatic changes in student interest to have an immediate impact on course enrollments. With many electives and the possibility of considerable specialization, students can choose their courses with considerable freedom. In general, the "new vocationalism" has meant that students are taking courses which are applied in their orientation and direction. Instead of mathematics, students study statistics or computer science. Instead of sociology, students choose criminology. The basic pre-law and pre-medicine courses have seen large increases in enrollments. At the graduate level, enrollments in law, medicine, business and engineering have been accompanied by severe declines in interest in many of the social sciences, the humanities and some scientific fields such as physics

and mathematics (except for an applied field like computer science, which are booming). These changes in student interest have caused an unplanned shift in the curriculum from the "soft" fields such as sociology to the vocational and applied areas. To some extent, the traditional academic fields have tried to adjust their courses to meet these new student interests.

Higher educational institutions have also noted that the age and composition of the student population has changed in recent years. Students have become, on average, older and there is a good deal more part-time study. The proportions of blacks and other minority groups have increased, and women constitute a larger percentage of student population. Institutions have responded by establishing minority studies programs and women's studies has become a part of the curriculum in many colleges. It is now easier for older students to enter degree programs and easier for students to temporarily stop their studies. While these efforts have not altered the basis of the curriculum, they indicate that educational institutions have made minor changes to meet new demands. It must always be kept in mind that American higher education is, in many ways "market oriented" and that it has tried to accommodate to the sometimes rapidly changing interests of students or of funding sources, but usually has not altered the basic thrust of the institution's purposes.

While it is clear that the basic curriculum has not been radically changed, there have been a number of efforts to reform the curriculum and some interesting examples of institutions which differ from the academic norm.[3] A hallmark of the American academic system is the ability of individual institutions to diverge from the norm and still succeed but without having a major impact on the system as a whole. While a number of the "experimental" colleges have had fiscal problems in recent years, most have survived.[4] Antioch College, which stresses a student-oriented curriculum with social changes as a major goal, has had problems but remains active. Hampshire College, an innovative institution founded in the radical 1960s, continues to involve students in governanace and to offer a curriculum with a great deal of student initiative. The University of California at Santa Cruz pioneered the "cluster college" idea, and while it has suffered enrollment declines recently, it continues with its efforts. Evergreen State College in Washington also offered a very innovative curriculum stressing the social sciences and cultural areas. While it is impossible in this essay to discuss all of the individual innovations in a highly decentralized academic

system, it seems clear that no nationally prominent reform in the curriculum has taken hold.[5]

**Teaching Innovations.** It seems clear that there have been no significant innovations in teaching method or orientation in recent years. Despite the turmoil of the 1960s and student demands for more "responsive" teaching, little lasting change has occurred. For a short period, a group of younger academics adopted many of the styles and orientations of the radical students, but this group soon lost its enthusiasm in the more conservative 1970s. The only innovation, if it can be called that, is the tendency of academics in fields which have lost their appeal to students to "retrain" themselves to teach in another field. Colleges and universities have occasionally sponsored retraining programs, and have in some instances provided study leave for staff members.[6] In general, academics have not willingly undertaken these career changes, but have been impelled by possible job loss or other threats. Traditional teaching methods remain entrenched and no significant national movements have been evident to introduce any striking innovations in teaching methods. The Fund for the Improvement of Post Secondary Education does not seem to have provided much money to major innovations in teaching although it has taken an interest in the undergraduate curriculum. Overall, the decade of the 1970s has been one of demoralization of the academic profession in the aftermath of student dissent and in the face of economic problems, but no reforms in teaching are evident.

**The General Education Movement.**[7] The major contemporary national effort toward the reform of the curriculum in the United States is the "general education" movement. Sparked by Harvard's 1978 report on general education, a national debate ensued on the topic which resulted in considerable discussion and some action by colleges and universities.[8] One of the most significant aspects of the movement was the fact that it developed largely from internal academic concerns and was not the result of a major national pressure. Few funds were available for general education and except for the moral support of the Harvard faculty and some prominent educational leaders, most of the impetus was internal. This is impressive because the faculty has seldom been in the forefront of any reform efforts. The debate has been protracted and few institutions have dramatically altered their curriculum. Even Harvard com-

promised. But without question the general education debate has been the most lively discussion of the undergraduate curriculum in several decades. For the first time, the faculty is devoting itself seriously to restructuring the curriculum and is not simply reacting to external stimuli.

The basic thrust of the general education movement is to reestablish a "common core" to the undergraduate curriculum and to ensure that every student has a basic exposure to the key elements of science, culture and society in the modern world. There has been a common recognition that the undergraduate curriculum as a coherent entity was virtually destroyed first by the increased specialization during the late 1950s as the graduate departments imposed their own requirements on undergraduates. In the aftermath of "Sputnik", American education sought to reestablish its scientific superiority, and funds for research were poured into the universities. Later, in the 1960s, a further blow at the curriculum was struck by the student activist movement, which demanded an end to other academic requirements. The faculty, immersed in research, oriented toward graduate education, and sometimes intimidated by the students, gave in and "electives" became the order of the day. Curricular requirements for foreign languages, the coherents study of science and other aspects were either eliminated or watered down. It was clear in the 1970s that the undergraduate curriculum has lost any degree of coherence. It was then buffeted by the new demand for vocational training.

The faculty, perhaps in part to protect its traditional bases in the arts, sciences and humanities, and certainly recognizing that the curriculum had evolved without a basic plan into an intellectual and administrative mess, moved to reform it. The idea which caught on is hardly original – general education has been a recurring theme in undergraduate education for more than a half-century.[9] In two previous reincarnations, general education was stressed in the years following World War I and again following the Second World War, when many Americans were searching for "core" values and for meaning to a complex societal reality. Many educators see the present period as one which requires a reexamination of values and in which science and the humanities must be reconciled to produce a viable civilization. General education, it is argued, can help to provide a solid basis for the educated citizen.

The various plans for general education differ considerably. A few call for a fairly complete core curriculum in which a carefully articulated general

education curriculum will integrate the sciences, humanities and social sciences into a coherent understanding of society. More common are plans that significantly strengthen the core requirements but do not eliminate undergraduate specializations. Such plans are a way of buttressing the undergraduate curriculum from complete capitulation to the new vocationalism of contemporary students. Some programs emphasize a series of integrative courses while others are an elaborate series of distribution requirements aimed as forcing students to obtain a broad background in the basic disciplines.

The implementation of general education programs has been difficult. At many institutions, it has been hard to find faculty members willing (and perhaps able) to teach integrative courses after years of increasingly narrow specialization. The prestige value of the graduate-oriented curriculum has been difficult to break. For example, during the 1960s many universities abolished basic writing courses. Now, writing skills are stressed and there are too few qualified English teachers to staff these courses. It is difficult to reallocate academic resources and general education programs have suffered as a result. Most reforms require financial resources, and the current general education movement comes at a time when funds are scarce. Students, where they have been articulate, have generally opposed the general education initiatives. Most have argued that the new programs take away their "freedom" while some resent the antivocational bias. And while the basic initiative has come from the faculty (usually with strong administrative support), there are always disagreements in decision making bodies concerning emphasis and orientation.

Thus, while it is clear that general education constitutes a genuine "movement" in American higher education, implementation has been slow and compromises common. It seems clear that many colleges and universities will adopt some form of general education and that, at least for a while, it will be a key element of the undergraduate curriculum.

**Why So Little Curricular Change?**

With American higher education facing many challenges, it is surprising that there has been no basic change and relatively little modest innovation. Most of the change that has taken place has been extremely minor tinkering with specific entry and other requirements so as to permit as many people as possible to attend college and universities. Despite the general education move-

ment, the undergraduate curriculum has not basically been altered. The record on innovations in teaching methods is particularly dismal.

There are a number of reasons for the retention of the *status quo*. These can be summarized as follows:

(1) Lack of funds. Reform generally costs money and funds have been particularly scarce, especially for alterations on the undergraduate scene, where few research funds are generated.

(2) The innate conservatism of the academic profession. The professoriate generally reacts unfavorably to any suggestions of basic change. It is somewhat surprising that general education has received even modest faculty support.

(3) Student apathy or opposition. Lack of enthusiasm by students has hindered the impetus for various reforms.

(4) Decline of faculty morale. Fiscal problems, lack of direction, lack of research funds and other problems have affected faculty morale and have diminished enthusiasm for any new programs.

(5) Vocationalism. A desire by students to use their post-secondary education very instrumentally has limited the viability of some reforms.

(6) Academic decision making. The extraordinary cumbersomeness of academic decision making, with its committee system, series of checks and balances and the like, has vitiated the reform process.

(7) Technological change. Scientific knowledge and technology has changed so quickly in recent years that there is considerable confusion over the appropriate direction of the curriculum.

These and other factors have limited the nature, speed and scope of curricular change in the United States. While it is likely that the contemporary general education movement will have a significant impact on higher education, this is about the only major curricular innovation that seems to hold much promise. The current American scence, in this regard at least, does not offer much that is innovative to an international audience – unless the study of failure has some relevance.

## Footnotes

[1] Alexander Astin, et al., *The Power of Protest*, (San Francisco, Calif.: Jossey-Bass, 1975).

[2] For a discussion of contemporary student attitudes, see Arthur Levine, *When Dreams and Heroes Died: A Portrait of Today's College Student*, San Francisco: Jossey-Bass, 1980).

[3] Arthur Levine, *Handbook on Undergraduate Curriculum*, (San Francisco: Jossey-Bass, 1978). See also Arthur Levine and John Weingart, *Reform of Undergraduate Education*, (San Francisco: Jossey-Bass, 1973).

[4] Gerald Grant and David Riesman, *The Perpertual Dream: Reform and Experiment in the American College*, (Chicago: University of Chicago Press, 1978).

[5] As David Riesman has pointed out, the American academic system is both diverse and in a way hierarchical. While formally decentralized, the dominant institutions such as Harvard, Chicago, Berkeley and the like have a vast influence on the rest of the system. See David Riesman, "The Academic Procession" in D. Riesman, *Constraint and Variety in American Education*, (Garden City, N.Y.: Doubleday, 1956), pp. 25-65.

[6] See W. Todd Furinss, *Reshaping Faculty Careers*, (Washington, D.C.: American Council on Education, 1981) for a discussion of current challenges to academics. See also Philip G. Altbach, "Stark Realities: The Academic Profession in the 1980s," in P.G. Altbach and R. O. Berdahl, eds., *Higher Education in American Society*, (Buffalo, N.Y.: Prometheus, 1981), pp.221–238.

[7] This discussion is taken largely from Ernest L. Boyer and Arthur Levine, *A Quest for Common Learning: The Aims of General Education*, (Washington, D.C.: Carnegie Foundation for the Advancement of Teaching, 1981). See also Daniel Bell, *The Reforming of General Education: The Columbia College Experience in its National Setting*, Garden City, N.Y.: Anchor, 1968).

[8] Faculty of Arts and Sciences, Harvard University, "Report on the Core Curriculum," February 15, 1978.

[9] See J. Gaff, *General Education: Issues and Resources*, (Washington, D.C.: Association of American Colleges, 1980), see also Ernest Boyer and Arthur Levine, *op cit.*, pp.5-16.

# IMPROVEMENTS IN COLLEGE TEACHING IN THE UNITED KINGDOM

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## 1. Introduction

There have been many areas in which teaching and learning in higher education have changed over the past ten years or so, and most of these changes are still thought to be improvements. If we are looking for major themes in these changes we might distinguish four:

i) Lectures – a change from passive listening to active participation and discussion.

ii) Group discussion – a change from being occasions for only talking about issues and problems to being a time for group production of problem analyses and solutions.

iii) Responsibility – a change from teacher centred to student centred learning.

iv) Learning to Learn – a greater emphasis on students' need to become independent life long learners.

Here I should like to explore these themes in relation to a wide range of particular innovations and the more general issues of relevance and the integration of learning and assessment.

## 2. Why innovate?

Before we look at these areas of innovation however it is perhaps worth thinking about why there has been a greater willingness to change over the last 10–15 years. What do academics think they have been doing during this time? Obviously many things but in the foreword to the Report of the Committee on University Teaching in the Hale Report in 1964 Sir John Wolfenden said: 'The Report starts from the standpoint that the main object of an undergraduate

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course should be the development of the student's capacity to think for himself and to work on his own'. As a most general summing up academics tend to accept this as a description but it is perhaps the mismatch between these ideals and what actually happens in higher education which has been one of the greater spurs to action. Generally as a society I believe we are now less willing to tolerate hypocrisy and lip-service in place of a real concern and a willingness to act. The 1968 the students revolt certainly highlighted many of the hypocrisies and made academics think much more deeply about what they were doing. Certainly in the United States many academics now trace back the willingness to innovate directly to the students revolts of the 60's. Behind the students' revolt of course there was the exhilarating rate of change not only in society at large but in technology which meant that change are re-learning was an everyday necessity. It is not so long that a well-known academic said that 'the firmest and most easily usable criterion of what ought to be done is what has been done'. Times are changing but they were no doubt helped by the greater emphasis now on accountability. There was a considerable outcry when the Prices and Incomes Board recommended that academics should be paid by results, but although it has not come to that here in the United States the evaluation of teaching has become a major industry and in Britain the Probationary Agreement whereby new lecturers are to have a proper development programme and annual reports on their progress it is beginning to take effect. We should like to feel that another spur to action has been the emergence of staff development or educational technology units, but they may be more a symptom than a cause.

### 3. The concern for objectives

One of the prime early concerns of educational technology units was to encourage the setting out of objectives and this became quite a stimulus for innovation especially in the area of long-term aims and attitudinal objectives. It was clear that both these might be inhibited by quite efficient ways of achieving good content coverage. If we really intend that our students should be willing and able to go on learning and re-learning, once the sticks and carrots of the formal education system are behind them, then we need to care more about developing attitudes and their willingness to think for themselves and work on their own. Paradoxically, educational technology itself could be seen as providing a student-proof system which was very efficient in terms of short-

term aims but perhaps much less efficient at generating the sort of motivation and ability which would carry them well beyond their final examinations.

**4. Participative lecturing and the development of group work**

The avoidance of passive learning and mere receptivity has lain behind the development away from the traditional lecture and it is now becoming common but not very common to find lectures which do not consist solely of the lecturer speaking for 50 minutes. Generating a lively discussion with the whole of a large class is often difficult but splitting momentarily into groups of 2 and 3 can be a very easy way of generating more active learning and at the same time in giving a much better feedback to the lecturer. Students are notoriously unwilling to expose their own lack of understanding in public but are much more willing to do so to the person they are sitting next to. A variety of tasks can be given to these small groups from general discussion to solving problems or discussing individual written responses.

Even in seminars or small group discussion breaking into smaller groups of 3 and 4 can be a very much easier and often more productive way of generating student participation than judicious questioning and encouragement within the larger group. Once the group is formed, however, there are strong inhibitions on actually splitting it and it is doubtful whether it is yet the norm to divide up groups even when they are obviously not going well. Another format for group work whuch has been rapidly spreading in the last few years is the progressive doubling system – sometimes called snowballing or pyramiding. This can be adapted to many situations but perhaps works best where there is a problem which individuals can begin to solve and then share their solutions with one other, then come together with another pair to refine it still further – finally presenting a short report in conjunction with another group so that groups of 8 end up with a joint report which can be discussed and compared with others within the class. A wide range of information and ideas are often generated by this method. There are some types of group work such as the associative groups of Jane Abercrombie and perhaps the use of brainstorming which require teachers to develop new skills but then we cannot look for a safe traditional escape in the ordinary seminar or discussion group since these often have an unhappy tendency to form themselves into mini-lectures.

**5. Project work**

Individual projects are now a very significant part of most students' education and in some colleges take up most of the third year. At Sussex in Chemistry they take up most of the whole course. In recent years there has been a growing realisation of the need for students to learn how to cope with project work and perhaps a greater emphasis on students learning from the processes rather than merely aiming at a good end result.

Perhaps more interesting has been the development of group project work which has enabled students to take on a wider variety of roles within the group and help them to achieve some of the 'teamwork' objectives which have been largely ignored in traditional courses. English education has been extremely individualistic in the past and although this no doubt has some virtues, the use of social forces for generating motivation for learning is only just beginning to be fully exploited. Group projects are now very often interdisciplinary, often reflecting the sort of environments which students will work in when they leave. These generally require a considerable amount of time to be successful but some tasks can fit into a syndicate type of organisation where students might work together for only one afternoon but still be responsible for a joint report. Sometimes these are written but it can generate more involvement if students have no make a joint presentation to the rest of the class. If there is a good de-briefing this can help to make them more aware of the problems of learning and teaching.

Two institutions have taken the concept of project work a lot farther than the others. They are the North East London Polytechnic, School for Independent Studies and the Lancaster University, Department of Independent Studies. Students can spend up to 2 years working on a project and need to develop a great deal of independence and initiative not only in planning the project thoroughly and carrying it through but in organising their own learning effectively. This is often dependent on being in an institution where there are more traditional courses about. But they do raise in a very acute form the general problem of teaching, that is finding the right balance of structure and freedom. Institutions on the Continent which were pioneers in project orientation found this question of balance a difficult one but seemed to be working towards the system which develops independence without losing too much traditional learning.

**6. 'Personalised systems of instruction'**

PSI or Keller Plan courses originated in the United States but have been gaining ground in Britain, especially in the Physical Sciences. Very briefly the general idea is that a traditional lecture discussion course is divided into approximately 2-week modules which have a supporting booklet and references to a wide range of resources. The students might request help from tutors and even ask for lecturers but there is no formal course. At the end of 2 weeks they can take a test if they feel ready for it and this is often administered by a senior student. If the test is passed they then go on to the next module, if not they study some more, take it again, or in some cases go on to the next module and take two tests later. There are different ways in which such courses can be run but the general principle is that the pacing and the use of educational resources is very much in the control of the student. This may appear to give and may actually give students a greater sense of independence, but on the other hand the rather specific requirements of the particular modules and the frequent testing may generate the feeling that students only have freedom in how they conform. Such courses, however, have generated the provision of Learning Resource Centres and a wide range of supports for independent learning which may not be linked into a Keller Plan type course.

**7. Peer teaching**

Many PSI courses have involved students as teachers of more junior students, and staff often say that the best way of learning is to teach. Slowly students are actually being given the opportunity to learn by teaching in very many situations. Perhaps the most highly developed comes from Switzerland where at Lausanne Polytechnic an elaborate system of learning cells is set up whereby students work in pairs and have responsibility for preparing questions on particular texts and helping their colleagues to work through them. In other situations more senior students help a small group of freshmen to settle in both in a social sense and academically and they can often be very influential in helping them to overcome the difficulties of transition from school to university. This is being taken up by universities such as Sussex in this country.

Some less traditional perhaps more adult courses have been specifically developed as a 'peer learning community'. An education course for medical general practitioner teachers was run very much on these lines where the group

took an active responsibility for the direction and content of the course. The idea fits less easily into an undergraduate curriculum but has been a useful component in an Economics Faculty in Sweden and the N.E.L.P. School for Independent Studies has some parallels.

**8. Games, simulations and role-play**

Simulations used to be very rare in British higher education and were generally concerned with the Social Sciences. Now they are beginning to be integrated into many more traditional courses. The concept of 'experiential learning' is generally highly developed in simulations and students can play a wide variety of roles, giving them insights into their own assumptions and prejudices and enabling them to feel a more genuine sympathy for people who they would normally happily stereotype. Competition is often a very strong element in games and simulations but often it is combined with teamwork so that the individualistic competition of traditional education is tempered by the need to actually work well with your team in order to achieve a better result than the other team. Emotions can often be very strong in these situations and it is sometimes said that often very little is learned about the subject matter. But with a more intellectual and thorough de-briefing intellectual learning may be linked with a much more involving and a memorable context. A society has recently been formed and it is very likely that games and simulations will become much more widespread in the near future.

**9. The search for relevance**

Relevance has been a catch-word in the past and is perhaps dying out a bit but it is nevertheless a very powerful concept in modern developments. Many medical courses have been restructured to avoid purely academic subjects and centre students' learning around systems or problems. The distinction between pre-clinical and clinical teaching has been questioned and students are often encouraged to develop a sense of responsibility for patients much earlier in their courses.

At Imperial College students are becoming much more involved in the Community working sometimes as teachers in the local comprehensive schools or working on projects which involve studying the social consequences and technological advances, one group even going so far as to put in electricity

supply to a remote village in Sierra Leone and staying to study the effects this had upon the population. Generally, however, the move has been in terms of more traditional courses linking science with society, with classes on social responsibility in science or relationships between scientific development and government policy. These might be thought of as appendages to the main courses but very many more interdisciplinary courses have been developed in the last few years and these almost always include a relationship with real life problems.

**10. Integrating learning with assessment**

The development of project work is perhaps the best example of integration of assessment with learning but with the erosion of the importance of finals due to accumulated criticism over the years there has been need to find a more natural context for assessments. This has inevitably meant that more time is needed so that students will be assessed during the time they are learning rather than at the end of it. Many academics and students have been worried that assessment will then dominate learning but the strong intrinsic interest in project work has not meant that conformity has been seen as a problem in this area. With essays students have felt inhibited and are often unwilling to take risks and try out ideas which were not well established in textbooks and lecture notes. Some universities, however, now ask students to produce a first draft which is then discussed and the students take it away to re-write it before it is handed in for a final marking. Sometimes a small percentage of the marks are given for the first draft but the general effect is that students do feel free to be more imaginative – to take more risks knowing that if they have gone too far they can recoup later. This system enables students to look to criticism not as something which they must defend themselves against but as something from which they can learn and profit. This seems to be an important lesson where so often criticism is taken in a highly defensive way and the chance for genuine learning is missed.

**11. Learning about learning**

There is another side to the integration of learning with assessment where the students are asked to reflect upon the learning processes which occurred when they were actually producing their work. This is most appropriate with

longer pieces of work, either essays or reports where a diary or journal can be kept and the students can be asked to write up a section of the report which actually reflects upon the problems and difficulties as well as the opportunities they had for learning while they were writing. Often students can be very disappointed with the end result of what they were doing while finding it a very valuable learning experience. A reflective commentary may help them not only to avoid some of the mistakes in the future but to better understand their own inhibitions, defenses and blindspots. Such aims have been an important part of two staff development projects in small group teaching where viedotapes have been made of students in discussion classes which were then played back to the group. This helped them not only to understand themselves rather better but to develop a sense of responsibility for the effectiveness of the group – something which students very rarely have and is not encouraged by the present emphasis – in teaching evaluation – on students as consumers. Students are not consumers of education in the same sense as a buyer of a car is a consumer. Their own behaviour can radically affect the quality of their own education and that of others. There are moves now to set up courses where students 'learn how to learn' and no doubt these can be very useful. If the emphasis is merely on encouraging students to be more efficient in absorbing information and conforming to requirements then it may have very little to do with the long-term aim of producing students who will have the ability and willingness to go on learning in a situation which is very different from the typical university course. Young people at university are often in a very crucial life stage where they are becoming professionals as well as beciming people with knowledge and skills. If students can be encouraged to integrate their personal and emotional development into their academic work then it may be that they will not feel they are equipped merely with the knowledge and skills of yesterday but are able to genuinely 'think for themselves and work on their own' in a society which presents them with problems which were hardly dreamt of while they were students.

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# PART III

# REFORMS AND INNOVATIONS

# COMPARATIVE UNIVERSITY REFORM*

PHILIP G. ALTBACH**

University reform is one of the major issues to emerge from the turmoil of the 1960s. By studying reform efforts we can understand much about the nature of higher education in a period of considerable stress. Many nations have attempted to reform their universities, and the results internationally have been quite mixed. It is fair to say, in fact, that relatively few reform efforts have been unqualified successes. By reform, we mean the planned change in higher education on a scale beyond very minor alterations in curriculum or academic regulations. Reforms have ranged from system-wide major changes in academic governance, such as the U-68 reform proposals in Sweden, to current decentralized efforts in the United States to reestablish the concept of "general education" in the undergraduate curriculum. This essay will discuss several of the factors underlying reforms in many nations and will consider the major themes in the movement for university reform.

Japan is a fairly typical although in a sense extreme example of the pressure for reform. Japan experienced some of the most violent and widespread student revolts of the 1960s, and one of the results of that unrest was a widespread demand for university reform. Universities, government committees and others responded by producing what is probably the world's largest number of reform proposals. While some changes were made, most observers agree that very few of the proposals were ever implemented. The Japanese experience is not atypical, although it is somewhat extreme. Opposition from faculty members, fiscal difficulties (since most of the reforms were costly), inertia, and some times governmental opposition scuttled reform proposals in many countries. Even where reforms were implemented, they have not in many instances been fully successful.

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* This paper is based on Philip G. Altbach, *University Reform: An International Perspective*, (Washington, D.C.: American Association for Higher Education, 1981).

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**The Anatomy of Reform**

University reform almost never comes from within academic institutions. Universities are in many ways extremely conservative institutions and reform must be stimulated from external forces. A number of factors contributed to the movement for reform.

• Expansion. In most countries, higher education expanded rapidly and in many cases traditional academic structures proved unable to cope with the expansion and began to break down. Institutions which had once been elitist began to accept students from a wider socio-economic group, and strains were placed on facilities, the curriculum, and the faculty.

• Student activism. Student activism was a hallmark of the 1960s and in some instances, students demanded change in higher education as part of their program. Although in only a few countries, such as West Germany, did the students articulate a coherent program of reform, their pressure helped to create an atmosphere where radical change was acceptable.

• Demands for accountability. Governmental authorities, who found expenditures for higher education increasing rapidly during the 1960s, were increasingly concerned to monitor expenditures and maintain some control over the direction of higher educational institutions because of rapidly growing expenditures. Governmental initiative was largely in the direction of ensuring that academic institutions were responsive to labor market factors. Further, government wished to monitor and control how funds were spent.

• Public concern. Universities were not traditionally in the public eye. The student revolts of the 1960s, the participation of larger segments of the population in higher education and mass media attention all helped to focus attention on higher education institutions and on policy questions related to higher education.

• Internal factors. A variety of internal stresses convinced many, in and out of the universities, that change was necessary. Ever larger student populations strained facilities, an increase in the size of the professoriate led to a realization that traditional patterns of governance did not work effectively, and a radical spirit produced demands for participation not only from students but also from junior academic staff. Many realized that the traditional curriculum was no longer functional. Perhaps most dramatic, the academic community was no longer convinced that their vision of the university was workable.

Given all these pressures, many nations developed reform plans. Typically, the initiative came from an external agency – most often government – which either provided the legal basis for reform or simply legislated academic change. This was the pattern universally in Western Europe, where centralized education ministries had authority to legislate reforms. In the United States and Britain, reform was left up to individual academic institutions. It is perhaps significant that the nations of the Third World, which had been under considerable pressure due to expansion and other factors, did not produce many reform proposals during this period.

It is difficult to generalize about the detailed causes for university reform since each nation, and even each university, has a specific case history. Yet, there are some common elements which stimulated the many efforts to reform universities during the 1960s and 1970s. Higher educational institutions in the industrialized nations were subject to many of the same pressures during this period, and thus it is not surprising that efforts were made to solve the problems that were sometimes to dramatically placed into focus.

**The Goals of Reform**

While the pressures for reform varied from country to country and specific programs also differed, it is possible to indicate some of the major goals that were articulated widely during the 1965–1980 period. Among these are the following:

*New University Structures.* In order to handle growing numbers of students and new academic tasks, universities have tried to develop new structures. Efforts have been made to alter existing universities, but more often have focused on entirely new academic institutions based on different ideas of organization and function. In West Germany, the concept of the *gesamthochschule* or unified university has been an effort to upgrade technological institutions and provide a new academic organizational model. The Council for National Academic Awards in Britain has provided increased status to teachers colleges, technological institutes and similar schools. The Open University, originated in Britain but adopted by a number of countries is another organizational innovation which has been quite successful. In Latin America, the growth of the private universities has been another organizational development. In Japan, the original concept of the Tsukuba model was intended to provide a new and inno-

vative academic structure. On a worldwide scale, the number of new institutional structures is quite substantial. Without question, this is one of the most widely used means of reforming higher education and permitting it to serve new needs.

*Interdisciplinarity.* Traditional academic disciplines have been considered stumbling blocks to the advancement of knowledge in a period of rapid technological change and tremendous growth of scientific information. Criticism had focused on the organization of universities into traditional and often conservative departments representing the "established" fields of knowledge. University systems with the "chair" system, reflecting an even more rigid pattern of organization, have been even more strongly attacked. The effort has been to break down the often impermeable walls between academic departments and hence between disciplines in order to permit insights from one academic field to cross-fertilize with other fields. Part of the motivation has also been to break down the often absolute power of the "chairholding professors." There are many examples of an interdisciplinary thrust. In West Germany and France, the reformed universities have been organized along the lines of interdisciplinary "task groups." In the United States and other countries which have not basically restructured the universities, there has been the growth of interdisciplinary research centers and similar innovative structures, many of which have the ability to grant academic degrees.

*Accountability.* One of the most controversial concepts in contemporary debates on higher education, accountability subsumes a series of concerns for making higher education programs more understandable and often more controllable by public authorities. Accountability, often counterposed to autonomy, is the desire of public authority to understand and to monitor all aspects of an academic institution. Accountability does not necessarily mean centralization, but in most cases it has resulted in increased government involvement in academic affairs, since accountability for funds almost inevitably means accountability for programs as well. Efforts to ensure accountability are not generally seen as "reforms," but new fiscal management systems, new committee structures, and new reporting techniques all have clear implications for the nature and direction of academic programs and for the long-term future of the university.

*Administrative efficiency.* Not usually viewed in the same vein as a curricular change or increasing student participation in governance, the trend toward

administrative efficiency in higher education is one of the currents of the recent period and can certainly be viewed as a reform. Related to accountability, administrative efficiency is part of a trend to provide management appropriate to large and complex institutions. Dramatic growth and increased budgets and new services have made more complex administration inevitable. While not very dramatic, new administrative procedures are without question a major contemporary change in higher education. Modern management techniques, an increasingly specialized and larger administrative cadre, and new committee structures are all part of the trend toward administrative efficiency. Technical innovations such as Program Planning Budgeting Systems (PPBS) are aimed at making units of the university account for the expenditure of funds and other resources and to plan their activities "rationally." In addition, there have been efforts to try to qualify and measure the effectiveness of various academic functions, including teaching. While such efforts have engendered a great deal of controversy where they have been attempted, they continue in many countries. The United States is most advanced in this general field, but several European nations have indicated strong interest in administrative efficiency.

*Relevance.* Relevance has many definitions. What is relevant to an activist student leader concerned with radical change is different from the definition of a corporate executive interested in skilled managers. Indeed, the notion of relevance has changed dramatically in the past decade, going from a concern with social action to an interest in employment skills. Demands for relevance have affected the traditional curriculum most dramatically. The established liberal arts have, in part, given way to a more vocational orientation. The exact nature of the demand for relevance varies from country to country – and from year to year to some extent – but it has been a constant pressure on universities in many nations.

*Democratization and participation.* The 1960s brought widespread protest against the academic "aristocracy" and demands for wider participation in academic governance. In general, the once absolute power of the senior professoriate has been curtialed in most countries, and severely limited in a few. The trend has gone farthest in West Germany, where the concept of *drittelparität* (tripartite governance) includes students and university staff in the governance process at all levels, in more or less equal numbers to the senior faculty. Despite court-imposed limits on the nature of participation, the con-

cept is an integral part of recent reforms. France, the Netherlands, and Sweden have also provided for some participation in governance by students and junior academic staff. Britain, the United States, Japan and much of the Third World have, despite some pressure, not moved in this direction to any significant degree.

*Increased responsiveness of the university to society.* Academic institutions in many countries, have been willing to abandon some of their autonomy for increased funding, power and prestige. While much of this responsiveness has been more a matter of evolution than of conscious policy and direction and thus does not fall under our definition of reform, it has also been in part linked to a conscious effort to link universities more directly to societal concerns. Indeed, many of the categories of reforms discussed in this section, such as relevance, participation and others are linked to the increased responsiveness of the university to society. The vocationalization of the curriculum, adding on new applied areas as part of the curriculum the stressing of applied and socially and technologically relevant research are also linked to this trend.

**The Implementation of Reform**

Once problems were identified, processes were put into place to design specific reforms and then to implement them. Again, there are many national differences and generic variations between nations which have centralized educational agencies and those with decentralized structures. But, based on a range of national experiences, it is possible to make some generalizations. Overall, the reform process proved to be complex and generally less than fully successful. It has been found that to move from a recognition that change is desirable and even more a fairly clear concept of the direction of change to an operational reform plan is a complicated process.

Generally, the faculty opposed reform. The academic profession is, without question, one of the most important elements in the reform equation. If the academics are opposed, there is much that they can do to sabotage both the development of specific reforms and the implementation of change. In most cases, the professoriate saw, with considerable justification, that the reforms would diminish their own power and their traditional dominant role in the affairs of the university. Senior professors were especially strong in their opposition to changes that expanded participation in academic governance. The faculty also is the repository of the historical traditions of the university, and

they defended established academic programs when they were under attack. It is possible to argue that the professoriate was defending an important institution against ill-considered change or, on the other hand, that academics were simply attempting to protect their narrow self-interest. But it is a fact that in most countries the professoriate opposed reform and this made the process of implementation very difficult.

Given this opposition and recognizing the cumbersome decision making apparatus of the universities, it is not surprising that most of the successful reforms were imposed from outside of the universities. Most were developed by governmental agencies or *ad hoc* committees and then legislation was promulgated by education ministries or other external agencies. In most cases, the final plans that emerged from generally lengthy deliberations were the product of compromise and seldom satisfied either the government agencies or idealistic planners who initiated them or the conservative academics who opted for the *status quo*. The lack of idealism in the final plans often removed a sense of urgency and commitment which impelled the reform process in the first place.

Reform plans generally proved expensive – more costly than was originally envisiged by the planners and this also contributed to the inevitable compromises. In some cases, implementation was delayed or even prevented by economic factors. In most instances, the scope and depth of the reforms was simply compromised to satisfy budgetary considerations. Where implementation was left to internal university bodies, in general progress was slow and in many instances no reform at all occurred. External agencies were more successful in implementing reforms, often through legislative fiat and without much consultation with those in the universities.

**The Outcome of Reform**

Despite intense debate, considerable disruption, massive public attention in many countries, and the generation of detailed plans, the overall result of the reform efforts of the 1960s and 1970s was fairly limited. In a few countries, notably Sweden, the Netherlands and to some extent France, major reforms were implemented without major alteration. In West Germany, results are mixed in that the Christian Democratic states experienced little reform and even in the Social Democratic areas, most of the reforms were only partially implemented. Legal battles in West Germany further limited the success of the re-

forms. In a number of countries where reforms were proposed, the results were very limited. In Japan, despite some pressure from the Ministry of Education, relatively little changed. American higher education was not changed significantly despite considerable ferment and student activism. India has seen a variety of reform plans but little implementation. In Britain, there was little pressure to change and, not surprisingly, few reforms.

Even where reforms have been implemented, there has been much debate concerning their success. In France, for example, many have questioned the effectiveness of the mechanisms developed for participation in academic governance while there is general agreement that the bifurcation of the universities was mostly successful despite some politicization of some of the new institutions. In West Germany, senior professors took reforms in governance to the Supreme Court and some of the reforms were overruled by the court. There has been continual questioning of the massive reforms of the Swedish higher education system, and the opposition of much of the academic profession remains. There is little agreement concerning the success of the reforms that have been attempted. Even the student radicals who were so instrumental originally in stimulating the reforms have been critical in many nations.

**Conclusion**

This discussion of university reform in comparative perspective has focused on some of the major pressures for reform, the kinds of reforms proposed in a number of countries, and some of the means used to implement reforms. It has not been possible to discuss the wide variety of specific reforms and how they have been implemented in specific countries.

It is fair to say that the reform movement of the past two decades was generated by a combination of structural stress, student unrest and idealism. This combination of forces proved to be powerful -- but so too was the opposition. Inertia, entrenched tradition, the senior professors, and high costs all were obstacles to reform and change. The final balance sheet is mixed and it is difficult to generalize from a comparative perspective.

Without question, the 1965–1980 period produced much change in many countries. Some of this change was a result of the efforts at university reform described in this essay. Some of the change was the result of demographic and other pressures rather than conscious efforts at reform. A few countries radically altered the landscape of higher education. Sweden, France and the Nether-

lands restructured their academic systems in quite significant ways. In other nations, such as West Germany, reforms were fairly widespread but failed to produce national alterations in the academic system. In still other countries, among them Japan, Italy, the United States and India, despite major challenges and many plans, the academic system was not altered significantly during this period.

The evaluation of the changes that did occur is beyond the scope of this essay. Indeed, this evaluation is a matter of considerable controversy in each of the countries in question. Most agree that the reforms did not produce all that the idealistic architects of change had in mind. But in a number of countries, change was considerable and seems to be lasting and everyone, either in favor or opposed, agrees that the scope was significant.

Without question, the nature, processes and scope of university reform is an important topic of consideration. Even in the relatively quiet 1980s, when the pressures concern declining enrollments and fiscal crisis in many nations, it is important to understand the anatomy of change.

# INNOVATION OF HIGHER EDUCATION IN JAPAN

## – the case of the University of Tsukuba –

SHO TAKAKURA*

The University of Tsukuba was founded in 1973 as the 78th Japanese national university with the special mission of remodeling the existing national university system in Japan.

The Committee for Future planning was established under the University in October of 1978, five years after the foundation of the University. This Committee has examined and evaluated the current condition of several innovations which were undertaken in the University; it has also been engaged in the University's future planning. The result of the self-evaluation of the University was reported in March of 1981 in a paper entitled "The Establishment and Accomplishment of the University of Tsukuba-Review of Current condition".

This paper briefly describes; (1) the founding philosophy of the University of Tsukuba and its innovations, and (2) the self-evaluation of the current condition of innovations.

### A. The Founding Philosophy

The founding philosophy of the University of Tsukuba is in many respects that of *an open university*, both in national terms and in international terms. Existing universities are often confined in narrow specialist areas, inviting the stagnation and hardening of both research and teaching and encouraging isolation from the real society. The University of Tsukuba, with this problem in mind, maintains a constant relationship with a changing modern society, and a flourishing international character, while developing moreover, a *new organization for the functions and administration of research and teaching* on the basis of diversity and flexibility. Furthermore, the University of Tsukuba establishes administrative organizations to implement these activities.

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The objectives of the University are therefore, in respect of the pure and applied sciences, to deepen free and rigorous exchange and liaison between the organs of research and teaching on the one hand, and society at home and abroad on the other hand; to pursue research and teaching while bringing international cooperation to fruition, and thereby to educate able people with creative intelligence and a rich humanistic approach; and to contribute to the development of science and culture.

**B. An Open University**

"An Open University" as the most important ideal of this university includes the following concepts.

(1) To break out of academic closedness

The University is a free and open organization so that it should avoid closed decision making in personnel affairs and budget allocations. These used to be dominated by a chair system in traditional institutions.

(2) Open educational and research activities within the university

A basic requisite of active educational and research activities of the University is an organic unity and open system of them, which are too specialized according to major field of study in the traditional universities. This organic unity and open system are strongly required to develop interdisciplinary research in the University in response to societal needs.

(3) The contents of educational and research activities should be open to a wider society.

Social demands for universities are becoming larger and more diverse since society develops very rapidly. The University is expected to grasp those social demands appropriately, to understand its own functions and to accomplish the tasks as a public institution to society.

(4) To keep close connections with other educational and research activities outside the University.

This University has to exchange information with other educational and research organizations and to keep organic connections with them in order to respond social needs and to maintain higher standards in each study area. The current condition of our nation's education and research requires more international exchange of academic activities in order to develop the present level of education and research. In order to improve academic standards, this university

is oriented toward the international exchange of faculty members and students.

(5) Open access to the university's educational and research facilities

This university responds to the diverse society's demands of education and research as well as accomplishing its main academic purposes. Thus, open access to university's facilities of education and research is provided, and the open universities' activities are offered to a wider society.

(6) Openness of university administration and management for society

Some professionals and specialists outside the university are required to participate in administrative management of the university to develop education and research activities more effectively.

### C. New System of Research and Education

It is one of the important features of the University of Tsukuba that, in place of the traditional university system of faculties and research institutions, it has adopted an entirely new system of research and education. Under the conventional system of other Japanese universities, both the faculties and students belong to the same specific faculty and department where research and teaching are theoretically treated as unified functions. In practice, however, the emphasis has all too often shifted to research activities and each department tended to be too isolated to develop a new interdisciplinary and wide-ranging research. With an eye to improving on this the University of Tsukuba has separated out the functions of education and research. The system treats research and education as the structurally separated but functionally interdependent endeavors. In this system, the educational system comprises Clusters of Colleges, specialist clusters (Schools), graduate courses, and research organizations constitutes the research Institutes and Special Research Projects.

(1) New educational system

The Clusters of Colleges are designed to be the main loci of instruction at the undergraduate level; their purpose is to develop a well-cultivated personality with a broader outlook on life and nature, nurtured through a close and constant contact with teaching staff and students majoring in various fields. The First Cluster of Colleges is putting relatively more emphasis on the instruction of basic disciplines. For this reason it might well be called the Fundamental Sciences College Cluster.

The Second Cluster of Colleges aims at providing a wide-ranging inter-

disciplinary curriculum, which centers around the study of man and other forms of life in the domain of literature and culture, education and welfare, biological resources and production etc. It might be called the Cultural and Biological Sciences College Cluster. The College of Socio-Economic Planning, the College of Information Sciences and the College of Basic Technology are constituting the Third Cluster of Colleges, which might, therefore, be called the Management and Engineering College Cluster. In addition to those Clusters of Colleges, the Schools of Medicine, Physical Education, and Art and Design are organized to provide specialized and consistent educational training required in those respective fields. No specific college is set up within the Schools, which are themselves performing the college function. Changes in student registration between Clusters of Colleges or Colleges to take account of changes in the wishes of new entrants are permitted wherever there is no obstacle in the educational planning of the Cluster of Colleges in question.

The First, the Second and the Third Clusters of Colleges are respectively constituting educational systems comparable to small universities. Within each Cluster of Colleges three or four Colleges are located, each covering a group of similar disciplines organized from among the human, social and natural sciences. The Colleges are the basic organizations for providing courses of instruction, and are the basic units for the recruitment of students or formation of classes.

The University of Tsukuba is offering a two-year terminal Master's Degree Program and a five-year consecutive Doctoral Degree Program. Master and Doctor Programs at Tsukuba are independently operated with different aims and conceptions. The aims of the Doctoral Degree Programs at Tsukuba is to train students into independent researchers capable of conducting original research. The Master's Degree Programs at Tsukuba aim at training professionals with an academic and technical expertise and a broad intellectual outlook through a highly specialized any yet interdisciplinary professional education.

(2) New research system

Scientific advancement expedites the specialization of research, so much so that some fields of contemporary sciences are not necessarily suited for direct linkage with educational units of undergraduates. Apart from the educational organization, therefore, Tsukuba has set up, on the basis of affinity of specialism, 26 research Institutes designed for carrying out advanced research. This is one of the main characteristics of the University of Tsukuba. Faculty members

belong to one of these research Institutes, in conformity with their specialism. For them, their respective research Institutes are the loci of their research activities at which they conduct their individual studies, or from which they are expected to move out to the Colleges, Schools or Graduate Courses of the University for the education of students.

The University of Tsukuba has launched Special Research Projects with the express purpose of effectively implementing large-scale or interdisciplinary researches, which are difficult to deal with for individual research Institutes. The Special Research Project is organized on a temporary basis and staffed by a Chairman and his research colleagues recruited from various research institutes as need arises. With the achievement of its envisioned results, each Special Research Project is to be replaced by a new project organized by a newly recruited group of researchers.

**D. Innovation of Administration and Management**

The University of Tsukuba has a flexible administration and management system which can always be suitably adapted to the specified problems. This system is not run in rigid fashion over the whole university. It aims not only at founding the pluralistic organizations which can meet the necessity of the actual requirements of both research and educational activities, but also to individualize the functions of each organization. Moreover, this system is designed to give coherence to the university as a single entity. Specifically, the following features are adopted as guiding principles for establishing the system.

- Leadership held by the central administration headed by the president and vice-presidents.
- A well clarified functional division of assignments among the various organs of administration and management.
- A thorough guarantee of freedom in education and research.
- Light administrative obligations on staff to allow for their concentrated attention to education and research.
- Reflection of outside advice on administration and management via on advisory board.
- A basis of cooperation throughout the whole university.

**E. Comprehensive Evaluation of Achievements**

(1) Complete realization of initial planning

The following difficulties occurred during the establishment of this university.

(a) The ideal of the university is quite new, unlike other traditional universities, in that many of those engaged in the establishment were not familiar with their tasks.

(b) The construction of Tsukuba Science City was delayed. Hence, both faculty and students suffered from various living inconvenience in the first two or three years.

(c) The university was affected, to some degree, by drastic economic changes such as the energy crisis which occurred after the beginning of the university construction. Despite these difficulties, it should be recognized that initial planning has been almost realized during a seven year period

(2) Recruiting highly qualified faculty members

The university as a comprehensive institution did recruit faculty members according to initial planning. The university accomplished an important task for securing success, which was the recruitment of over 1,300 qualified staff including transfering staff from the Tokyo University of Education.

(3) Playing the role as a leader in university reform

The ideals of the university substantially stimulated other university reforms. They include; interdisciplinary research: interdisciplinary education; the admission policy by recommendation of high school principals; comprehensive learning subjects; admission in September for those Japanese students who come back from abroad; in-service training for full-time workers; open university activities; international exchange of academics. It should be recognized that the University is playing the role of a leader in reform because those activities were considered and adopted by many other universities in the nation.

(4) A basic direction of new ideals is becoming settled.

A basic direction of new ideals should be positively evaluated. This university still has many problems in implementing and realizing new ideals because of it being the nation's first new ideal university. But these problems stem from trial and error-like implementation by unexperienced staff. Thus, things are expected to improve as the staff learns and gets accustomed to the new situation and environment. So, one cannot deny new ideals, even though the university still has many problems. The management of this university will offer a unique

set of results to education and research in the near future. This is predicted from the following facts; strong social expectation for graduates; increasing number of qualified applicants; creative interdisciplinary researches.

(5) Much attention has been paid to this university

The strong expectation and concerns become greater both nationally and internationally. Educationists and other people accept this university as a leading institute of university reform in Japan. At the same time, university people from abroad paid attention to it as a model of university reform in the late 20 century. There have been more than 47,000 visitors with advanced appointment in the past five years. This is regarded as a proof of the expectations of many people.

**F. Evaluation of Organizational Management of New Ideals**

(1) New system of education and research (systems of clusters of college and schools, and institutes)

Dividing unit organization functionally into educational and research organization gave the staff, who were accustomed to the conventional department system some trouble. But the new ideals have been understood recently.

(a) Items which have been realized by new ideals

Separation of education and research realizes the following points.

* Interdisciplinary research projects can be organized more easily.
* The interdisciplinary education can be provided which give students a broader consciousness of problems.
* The responsibility of implementation of education and research is clearly imposed.

An appropriate allocation of staff and budget becomes possible.

(b) Other tasks

Other tasks to be improved in the near future are summarized in the following points.

* Staff's responsibility in education should be imposed more clearly. This is required for education of students in the Master's degree programs, to which various research organizations are related.
* An adjustment among clusters of colleges and schools to allocate staffs to various educational organizations are required.
* Areas such as the humanities and social sciences should be enriched both in

education and research activities. And areas such as medical sciences and engineering which did not exist in the previous institution are required to be developed to vitalize the activities.

(2) Establishment of university autonomy

This university has adopted a new administrative management system, which avoids the usual department system, in order to realize a total university autonomy.

(a) Items realized by new ideals

* The tradition and closedness of departments and the chair system were broken out of, so that educational and research activities have become freer.
* Due to an easy decision making process which was brought by the new system, the university can be more responsible to a rapidly changing society.
* Administrative organizations are defined and established according to the functions such as education, research, student affairs, and campus planning, thus, those organizations work very effectively.
* In the older departmental faculty meetings, all members were required to participate in administrative management. Thus, the authority and responsibility of deans are not clearly defined. But this university has adopted a new administrative management organization which differentiates discussion and examination from implementation, thus, the authority and responsibility of chairpersons are explicitly defined.
* Faculty personnel and allocation of the university budget are discussed and examined in university personnel committees and university finance committees. Hence the flexibility in decision making is secured according to a basic policy of university management. Such a flexibility is impossible in the traditional departmental and chair system. This system has brought appropriate allocations of budget and staff, which includes allocation of the research budget, concentrating allocation of the budget on graduate schools and libraries, expansion of newly developed study areas, etc.

(b) Other tasks

* There is a problem of how to adjust two demands at the same time: one is the overall university control of the president; another is the autonomy of each organization such as faculty meetings of clusters of colleges and schools.
* In this university, any implementation of decisions will be done under the responsibility of each organization head after enough discussion on the meetings

mainly based on faculty meetings. This is a guarantee that faculty can participate in administrative management and it is expected to be an efficient implementation and clearness of responsibility. This should be improved on more, though.

* It is important for this university's administration management system to communicate between the president's leadership and the faculty's opinions for mutual understanding. Thus, an effective system of mutual communication is required. This is also needed in relation to communication between the president and the students.

(3) Open university

This university supports the ideal of the "open university", which means that it must reflect recommendations and opinions with regards to management by external people, it is open to a wider society, it promotes exchange with other universities, it breaks closedness of each organization within the university.

(a) Items realized by new ideals

* A presidential advisory board is one reflection of opinions from other external people. It has given recommendation about important affairs of management, future planning and job counseling for students, and these have functioned effectively so far. Other organization such as an office of planning, an office of international and community relations. An office of academic planning, an office of public relations, try to have external demands to the university and reflect them in university management.

* Among the achievements of the open university, the research achievements are; organization and development of research project responsible to social demands; cooperative research with scholars outside the campus; open access of education and research facilities of this university. On the other hand, educational achievements are; in-service training of working people and professional training in the master's program; open university activities; university curriculum responsible to social needs.

* Exchange with domestic or foreign universities is realized and promoted through these activities; international exchange of educational and research; establishment and open access of facilities which can be used by external people; cooperative research of special research projects.

* The closeness among various organizations was broken by the abolition of the

chair or department systems. Interdisciplinary cooperation was accomplished and secured by the institution. Thus, the demerit of the so-called "octopus trap" which is often pointed out as being the closedness in traditional universities has been overcome.

(b) Other tasks

* The basic orientation as to education and research should be developmental in response to social needs.
* The system should be divided to grasp the external social needs of the university.
* Exchange of researchers should be done to get diverse type of people. And the conditions to do so should be provided.
* International exchange of scholars should be done with foreign universities in order to improve intellectual stimulation.
* The geographical inconvenience limits open university activities. This should be improved.

# A STRATEGY FOR INNOVATION OF CHUNGNAM NATIONAL UNIVERSITY

## – A KOREAN CASE –

MYONG-WON SUHR*

It is an honor to be asked to speak on the Strategy for Innovation of Chungnam National University, of which I serve as president. Our university is now moving to its new site in order to coordinate its efforts with the various research institutes of the newly established Daeduk Science Town.

Chungnam National University, which was elevated and expanded to its present status through a complex and peculiar process, is housed in modern buildings located on 340,000 pyongs of land within the area of the Science Town. The University, established as a provincial university in 1952 and finally elevated to the status of a national university in 1962, includes at present seven colleges and three graduate schools serving about 14,000 students.

Chungnam National University, formerly located in the south-western part of Daejon City, has been moving to its present site, Daeduk Science Town where eight research institutes run by the Government are consolidated on 8,400,000 pyongs of land since 1978, according to the University Relocation Plan. When completed, the Science Town will not only accomodate two decade research institutes or so in the nation, schools of all levels, and a community center, but also a new city with a population of about 50,000.

Our province, as a hub a transportation, conveniently located in the central part of the nation, offers some advantages for constructing a science town there. The Government, recognizing the necessity to relocate our institution in the Science Town, finally approved the University Relocation Plan, with a view to working in close cooperation with the research institutes of the Science Town.

The University Relocation Plan consists of three different stages: During the first stage (1976–81), we finished the construction of the Engineering, Humani-

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ties, Natural Sciences, Social Sciences Halls, Student Union Building, foreign professors' apartment, and many other auxiliary buildings. During the second stage (1982–86), we are planning to complete almost all of the buildings for the remaining organizations such as the Agricultural Hall, University Library, University Headquarters, and other service facilities. During the final stage (1987–91), we are scheduled to complete our gigantic master plan. As an initial undertaking, we purchased a 280,000 pyong site, and set up the relocation plan of the College of Industrial Education including the physical plan, which was required in order to decide the academic plan in advance.

We, however, came to a deadlock in securing the site. In order to make a far-reaching, long range plan, we launched a campaign to secure a 1,000,000 pyong site. The struggle with the authorities concerned who believed exclusively in a short-sighted policy was beyond description. Ceaseless efforts enabled us to tide over the difficult situation and to succeed only in designating the site as an education belt. With the site so designated, we adopted a twin campus format: Western and Eastern Campuses. A ground-breaking ceremony was held in the East Campus on November 19, 1981 for the construction of the College of Agriculture which will serve as bridge between the East and West Campuses. The twin campus format was made inevitable because of topographical considerations now that we needed more land than that of the Government's initial plan.

A long-range academic plan which extends until 1991 provides for the expansion of our institution in terms of both quality and quantity. Sufficient, up-to-date facilities and equipment to comply with the full academic desires of the professors and the students will pave the way for upgrading the institution to the level of the leading universities of the world.

By 1991, Chungnam National University will have been relocated on 1,000,000 pyongs of land with modern buildings housing 101 departments, 10 colleges, 4 graduate schools, additional research institutes, and a maximum enrollment quota of 20,000 students.

In addition, faculty members will have been strengthened in terms of number and quality, including an increase of the number of staff and clerical officers, some of whom will serve in such new positions as boiler mechanics, computer programmers, etc.

Since it is deemed more convenient for the University Medical Center,

including the College of Medicine, to be located in downtown Daejon, the Center will be located on the old campus of 60,000 pyongs. The other 80,000 pyongs of the old campus were handed over to the Board of Education which will utilize the site for the benefit of educational facilities. This was done in order not to tread in the footsteps of Seoul National University, which handed its old site over to various types of organizations.

The long-range academic plan which was originally formulated was doomed to be revised. The Government's policy to depopulate Seoul forced an increase in the student enrollment quota to a great extent and upgrading of the provincial colleges and universities of the nation, which became so corpulent that they could hardly keep up with demands.

The whopping increase in the university student enrollment was also in response to the number of the repeaters who failed in the entrance exam for higher institutions. The repeaters, whose number came to accumulate year by year, became one of the most critical social problems at issue. As an outlet for the surplus population of the capital city and surplus high school graduates, the Ministry of Education approved the establishment of new universities, colleges, and departments.

The result of such trends in the past few years and the rapidly changing Korean society have changed manpower demands in Korea. The emphasis was formerly put on the fields of engineering, business economics, and natural sciences, but currently it is on the fields of language.

As a result, the student enrollment of our institution, about 14,000, has almost tripled since I took office in 1977. In addition, we divided and reorganized some colleges as follows:

The College of Liberal Arts and Sciences was divided into the College of Humanities and the College of Sciences, the College of Law and Business Administration was divided into the College of Law and the College of Economics and Management, the College of General Studies was disbanded, and the College of Engineering was reorganized into the College of Industrial Education, which is expected to be reorganized again into an engineering division and an industrial education divisions in March 1982. Special regard was paid to this action in that the College is required to coordinate with the various neighboring research institutions of the Science Town.

In accordance with our physical plan, we secured a site of 280,000 pyongs

located in the west-southern tip of the Science Town. Part of the site was formerly a public cemetery from which 12,000 graves have since been removed. The occupants of the land reacted strongly and made outrageous demands saying in effect that they could hardly be compensated for the lost land and housing, and that the compensation was meager compared to the prevailing prices.

When we made up our physical plan, we were faced with another difficulty. Since the area suitable for building was so limited, we had to level hills. The data for the amount of precipitation and seasonal winds for the past fifty years helped in constructing a power plant. Utility runs, whose purpose was to lay electrical and communication wires and water ways underground were constructed in order not to spoil the beauty of the new campus.

The selection of the sites of the University Library, University Headquarters, and the Student Union was made as a result of proper consideration, especially for the library, the building symbolic of our university. The six-story University Library will accomodate 1,500 readers with a total capacity of some 1,000,000 volumes. In the Student Union, there are dining halls, student circle rooms, a bookstore, a post-office, a bank, a recreation room, etc.

We changed the location of the University Stadium to the outskirts of the campus for the benefit of the community. The R.O.T.C. Detachment was placed in the remote corner in accordance with the policy of separation between military drills and academic instruction. The dormitory is scheduled to be constructed in the farthest corner of the campus.

The selection of the location of each building demanded the most serious consideration in terms of unity within variety, distance among the buildings, natural environment, etc. Thus, we designed the buildings to preserve the salient characteristics of their structures in harmony with totality. We laid out the buildings within a ten-minute walk of each other so that the students could walk between classes without any inconvenience during the ten-minute breaks.

We entertained a lively concern for landscape architecture by utilizing existing natural environment. We plan to create a plaza set in a surrounding landscape of great beauty, including an artificial pond. One of the disadvantages of the new campus is the fact that there are no flowing streams and no natural rock formation existing around the campus. Therefore, we have decided to make up for the loss with the artificial pond and beautiful landscaping. A neat campus

embroidered with the university flower-royal azaleas, the university tree – gingko trees, and the university animal – white horses, will await our C.N.U. family.

With my enriching experience in relocating Seoul National University as vice president, I have been able to make great use of relative merits and demerits of that campus in constructing the Chungnam National University campus.

First of all, I requested the Ministry of Education to set up the Construction Headquarters for the purpose of dealing with construction affairs. The Construction Headquarters, disbanded at the moment, made a great contribution to the development of the University.

The utility run system was adopted from Seoul National University (S.N.U.). The buildings of uniformity in S.N.U. looked so monotonous and flat that every effort was made to make those of C.N.U. diverse in appearance. The artificial pond and the landscaping with stone are also adopted from S.N.U.

As for the academic plan, I have not adopted S.N.U.'s University Headquarter-oriented system, under which such subordinate organizations as colleges and graduate schools had nothing to do with administration. In addition, the newly-established system of associate deans at S.N.U. caused some problems in handling student affairs. In the process of reorganization, Seoul National University placed the Department of Economics under the College of Social Sciences, disbanding the College of commerce. On the part of our institution, however, I placed the Department of Economics under the College of Economics and Management.

My experience at S.N.U. helped me to execute the University Relocation Plan more effectively. We adopted the policy of "construction prior to disposal of buildings and land" with the intent to obtain more financial benefits while Seoul National University adopted quite a different policy in constructing their campus. That is, they opted for a policy of "construction after disposal".

Thus, the innovation idea of our University is entirely a result of my past experience at Seoul National University.

Chungnam National University has shown the way in all areas from being a storehouse of knowledge to being a workshop of learning for all of the local community and has contributed to the development of the local community. In this connection, the University is required to further enhance a close relationship with the research institutes in the Science Town.

We are promoting a system of joint appointment, research, and utilization of the facilities of the two parties, so that researchers at the institutes can serve as professors at C.N.U., and conduct joint research with our professors, utilizing the facilities of both parties. In the meantime, we are planning to establish new departments connected with the research institutes of the Science Town. The newly establishing Department of Shipbuilding is an example of such planning.

With academic cooperation program between the two parties, the Science Town without advanced degrees will be able to study at the C.N.U. graduate school for doctoral degrees. Another advantage for university is that C.N.U. graduates can be employed by the institutes.

In addition, we expect to jointly utilize the community center and the apartment houses at the Science Town under the coopera'ion program.

In retrospect, issue of the campus move had been more or less controversial with numerous difficulties plus an occasional deadlock in the process of working out the blueprint. However, the strong desire expressed by the people of Chungnam Province orchestrated with the unflinching will of the C.N.U. family and the timely scheme of the Government has made it possible to pull through various predicaments so far. The new campus, when completed, will be on a par with the S.N.U. campus, which has been heralded as being exceptionally impressive in its size and appearance, let alone in the quality of its academic activities.

Despite the bright prospect in store for us, we always bear in mind the fact that our present activities are but the beginning of a long up-hill struggle in our duty of upgrading the university to the rank of the top-notch universities of the world. We can not be let ourselves be under the illusion that large-scale buildings on an extensive site are enough to fulfill the requirements for a high-calibred university. The real value of a higher educational institution lies not in physical appearance, but in the quality of scholarship on the part of professors and students. Spick-and-span installations and facilities will mean little unless they are filled with a truly devoted scholarly spirit and enthusiasm.

Therefore, it is imparative at this time that we set ourselves to the attainment of the finest and fullest inner development that will match or rather consummate the outer development which we are looking forward to achieving within the next two or three years.

# REFORMS IN CHINESE HIGHER EDUCATION

CHEN SU*

It is only several decades since the modern system of higher education was set up in China. In the long period of the feudal society, there was no unified schooling system, teaching concentrated only on the Four Books (The Great Learning, The Doctrine of the Mean, The Analects of Confucius and Mencius) and The Five Classics (The Books of Songs, The Book of History, The book of Changes, The Book of Rites and The Spring and Autumn Annals) and various levels of officials were selected through imperial examinations. After the Opium War, foreign missionaries came to our country in quick succession and set up schools at trading parts. Later, schools such as Beijing Tong Won Guan (Beijing Academy of Foreign Languages and Natural Sciences), Shanghai Fang Yan Tang (Shanghai Dialect School) and Nanjing Shui Shi Xue Tang (Nanjing Naval Academy) were set up one after another. The Tou Deng Xue Tang of the Tianjin Xi Xue Xue Tang (Western Learning Institute), later redesignated as Beijing University, the first institute of higher learning of our own was established in 1895. That institute with four-year teaching programmes provided an education on engineering, electricity, mining, machine-building and law. The opening of the Jing Shi Da Xue Tang (Beijing Grand School) in 1898 is considered to be the beginning of modern higher education in China. The formal system of higher education was established after the "Schooling Regulations Made by the Imperial Order" was promulgated by the government of Qing Dynasty in 1902. Many reforms in our higher education had been made since the Revolution of 1911, but their progress was very slow.

In 1949, on the eve of the liberation of our country, there were only 205 institutes of higher learning, including mission schools, with a total enrolment of 110,600 odd students. During the fifty-odd-year period from the founding of our first institute of higher learning to 1949, the total number of the graduates

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came to only a little more than 185,000.

Immediately after the founding of the People's Republic of China, measures were taken by the people's government to transform the old higher education step by step in a planned way. The transformation of our higher education can be divided into four stages.

**1. The period of transformation of old educational system and establishment of the new educational system (1949–1956).**

In this period of time, tremendous successes were achieved in our tertiary education.

(1) The people's government took over and reorganized the old institutes both public and private; took over, cut down and merged the mission schools which had received allowances from the foreign countries; regained our educational sovereignty; abolished the reactionary educational system enacted by Kuomintang and established the leadership of the communist party to the institutes of higher learning.

(2) The policy of opening universities to the children of workers and peasants was carried out and lots of cadres being much experienced in the revolutionary struggle were admitted to the institutes of higher learning. The proportion of the students coming from worker's and peasant's families rose from 20.5% in 1952 to 34.1% in 1956 (64.6% in 1965).

(3) The contents of courses and teaching methods were reformed step by step in a planned way. The reactionary contents of education were cancelled. Lessons in the theory of Marxism-Leninism were offered. The basic system of ideological and political education was established. The reform in professional courses was also made. The integration of theory and practice was strengthened.

(4) Ideological remoulding of intellectuals was carried out and the feudal, compradore and fascist ideologies were eliminated and the thought of serving the people was fostered.

(5) Reorganization of colleges and universities was carried out in 1952. Specialities were both incomplete and numerous and jumbled in higher education and many institutes were overlapped in old China. After the reorganization, our higher education, in the main, had met the needs of the development of industry and agriculture for the professional personnel in the period of the first

two five-year plans.

2. **The ten-year period before the "cultural revolution" (1957–1966).** In these ten years we were engaged in an all-round, large-scale socialist construction. As in other fields, we achieved very big successes in education despite serious setbacks. The number of graduates from institutes of higher education was 4.9 times that of the previous seven years. Educational work was improved markedly through consolidation. Scientific research and technological work, too, produced notable results.

(1) The policy for education was definitely put forward. In 1957, comrade Mao Zedong put forward the object of and policy for socialist education in the report "On the Correct Handling of Contradictions Among the People", that is "to enable those who receive education to develop morally, intellectually and physically and become the working people with socialist consciousness and culture". In 1958, the central committee of the Chinese Communist Party and the State Council issued the "Instructions on Educational Work" and put forward that "education must serve proletarian politics and must be integrated with productive labour".

The educational policy pointed out the way forward for the higher education in our country.

(2) In 1957, the counter-attack against the wild attack mounted by a handful of bourgeois rightists was launched in the educational circles. It was therefore entirely correct and necessary to launch a resolute counter-attack. But the scope of this struggle was made far too broad and a number of teachers, cadres and students were unjustifiably injured.

(3) In 1958, the "educational revolution" was started, in which there were far too many political campaign, too many productive labour to do and some courses were unjustifiably criticized. Some achievements were made in the integration of education and productive labour and of theory and practice. The teaching system of integration of teaching with scientific researches and production was basically established.

(4) In 1961, educational readjustment was started, the experience in educational work since the founding of the people's republic was summed up, the "Working Regulations for Full-time Institutes of Higher Learning (Draft)" was worked out and the "left" errors in educational work were rectified. Thanks to

the efforts made by the broad masses of educational workers, much improvement was made in the teaching work and successes were achieved in scientific researches. Nevertheless, "left" errors in the principles guiding educational work were not eradicated. There was an increasingly serious "left" deviation on the question of intellectuals and on the question of education, science and culture, the scope of class struggle was substantially broadened. These "left" errors eventually culminated in the "cultural revolution".

### 3. The decade of the "cultural revolution" (1966–1976)

There is no denying the fact that educational work was seriously disrupted in the decade of the "cultural revolution". Many institutes of higher learning were dismissed, there hadn't been any new recruit of students for 5 to 7 years, and entrance examinations were no longer needed for students to enter colleges and universities. Students were not of uniform level of education and the institutes of higher learning all suffered severe setbacks and heavy losses. Many capable and accomplished intellectuals were attacked and persecuted. In 1971, taking advantage of the national conference on educational work, the "gang of four" concocted a summary of the conference and dished out the reactionary "two estimates" (the educational work, in the 17 years from the founding of the people's republic to the beginning of the "cultural revolution", was ruled by a sinister revisionist line and the intellectuals trained and brought up in the 17 years were all bourgeois intellectuals). Our educational work suffered very much from the unheard-of calamity.

### 4. The period after the smashing of "gang of four" (1976–1981)

The smashing of "gang of four" and the convening of the Third Plenary Session of the Eleventh Central Committee of the party in 1978 saved our educational work from disaster and enabled it to enter a new historical period. With the shift of the focus of the work of our whole party and country, the position and role of education in our socialist modernization have been taken seriously. In time of setting things right, our educational work has been returning to normal and developing.

(1) In 1977, the unified entrance examination system of institutes of higher learning was restored so as to ensure that all of those attending colleges or universities would meet their requirements.

(2) After 1978, large number of unjust, false and wrong cases were re-examined and their verdicts reversed, and the policy towards intellectuals was implemented.

(3) Cases in which people had been wrongly labelled bourgeois rightists were corrected.

(4) Titles of teaching posts in institutes of higher education were restored in 1978.

(5) The "Regulations Regarding the Academic Degrees of the People's Republic of China" was adopted by the Standing Committee of the National People's Congress in February, 1980.

(6) The number of years of study in colleges and universities was regulated and class discipline was strengthened.

(7) In August, 1981 the Ministry of Education convened the conference on ideological and political work in schooling. Measures to strengthen and improve ideological and political work were adopted.

The above-mentioned measures have brought into full play the initiative of teachers and students and led colleges and universities onto the correct path. The teaching quality has been improved immensely.

In order to suit the needs of socialist construction, many new colleges and universities have been set up, especially teachers' colleges, institutes of political science and law and institutes of finance and economics. During the four-year period from 1976 to 1980, the full-time institutes in our country increased from 392 to 718, or by 83%. During this same four-year period, the total number of those attending the institutes rose from 560,000 to 1,143,000. In addition to full-time institutes, the Television Broadcasting University was established in 1979. In 1980, there were a total number of 324,000 students receiving televised education and 455,000 students attending factory-run universities and spare-time universities. The number of teachers of colleges and universities came to 246,900.

During the past 32 years, the road our higher educational work took was tortuous, but, on the whole, it had adhered to the socialist line and achieved tremendous success.

(1) The socialist transformation of the old education was accomplished, the socialist educational system was set up and the preliminary experiences in socialist education was gained.

(2) The educational work was greatly developed.

(3) A great number of capable personnel were produced for the socialist construction of our country. (3,000,000 odd graduates from full-time colleges and universities and 16,000 odd postgraduates).

(4) A contingent of 240,000 college and university teachers was built up.

(5) Scientific researches were widely made and a lot of achievements in scientific research were obtained.

In order to improve the higher educational of our country further and make it perfect, we are considering and studying the following problems:

(1) How to adopt the structure of the higher education to the needs of the socialist construction of our country to a greater extent.

(2) How to improve the entrance examination system and make it more perfect.

(3) How to improve and strengthen the ideological and political work among the students.

(4) That colleges and universities have yet to be replenished with technical equipments.

(5) That the number of college and university teachers must be further augmented and their competence further raised.

# INNOVATIONS IN THAI HIGHER EDUCATION

IAM CHAYA-NGAM*

## 1. Introduction

Over the past two decades or so there have been many changes in the teaching of students at university level in Thailand. Some changes were of an innovative type, others just natural developments of existing patterns. Before looking at those innovative changes, it seems desirable to define the term "innovations" to see what it can refer to. As used in the study entitled "Innovations in Higher Education for Development: A case study of Thailand" undertaken by Wichit Srisa-an, Tong-In Wangsotorn and Paitoon Sinlarat, on which this paper has been based, the term "innovations" covers such ideas, policies, or projects as were new to and adopted by institutions of higher education. Specifically, the areas where innovations have taken place are indicated in Table 1.

**Table 1**

**Innovations in Higher Education For Development by Areas and Types of Orientation**

| Areas | Orientation |
|---|---|
| 1. Orientation, Structure, and Management | 1. Regional Universities |
| | 2. Academic Market University |
| | 3. Community College |
| 2. Curriculum and Instruction | 1. Rural Doctors |
| | 2. Graduate Volunteer Programme |
| 3. Education Technology | The Open University |
| 4. Teacher Education | Rural Teacher Education |
| 5. Science Education | Environmental Studies |
| 6. Research and Development | Integrated Rural Development |

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Source: Wichit Srisa-an, Tong-In Wangsotorn, and Paitoon Sinlarat, *Innovations in Higher Education for Development: A case study of Thailand*, a research report submitted to the Regional Institute of Higher Education & Development, Singapore, August 1979, p.3.

This paper will be directed towards externally-oriented innovations, rather than internally-oriented ones which are somewhat limited in scope and impact.

Before examining the characteristics of these innovations, it should also be pointed out that this paper will confine itself to the university type of higher education only. The reason for this restriction is that, compared with other degree-granting institutions and colleges in Thailand, both government and private, state universities have a wider and more comprehensive range of functions and activities.

At present, there are fourteen universities supervised by the Office of University Affairs and situated in all the four regions of the country. These are Chulalongkorn University which is the oldest one, founded in 1917; Thammasat University, Mahidol University, Kasetsart University and Silpakorn University in Bangkok; Chiang Mai University in the northern province of Chiang Mai; Khon Kaen University in the northeastern province of Khon Kaen; Prince of Songkhla University in the southern provinces of Songkhla and Pattani; Srinakarinwirot University located in Bangkok and several provinces; Ramkhamhaeng University in Bangkok and Sukhothai Thammathirat Open University which is the latest addition in Bangkok. Mention should also made of the following institutions: the National Institute of Development Administration (NIDA), the King Mongkut's Institute of Technology, both located in Bangkok, and the Institute of Agricultural Technology located in Chiang Mai.

## 2. Characteristics of Innovations

The characteristics of those externally-oriented innovations mentioned in Table 1 can be summarized as follows:

### *2.1 Regional Universities*

It was partly because of the Government's desire to decentralize and to further progress and development from the central region to the other three main regions and partly because of the demand for higher education that it was decid-

ed to establish regional universities to serve as social and economic development promotion centres in those regions. The first regional university set up in 1964 was Chiang Mai University in the North, followed by Khon Kaen University in the Northeast in 1966. Two years later, in 1968, Prince of Songkhla University was established in the South. The establishment of regional universities was in accordance with the government's goal which has always been national development based on the joint development of education and other fields.

Associated with the establishment of regional universities was another innovation: allocation of admission quota to a certain number of graduates of regional secondary schools so as to enable regional students to have greater access to university education and to encourage them to work in their respective regions after graduation. This innovative policy was first implemented in 1970 by Khon Kaen University to be followed by Chiang Mai University in 1971 and Prince of Songkla University in 1973.

*2.2 The Academic Market University*

The attempt to bring university education to the masses can be traced back to the days when Thailand first adopted democratic government after the Revolution in 1932 with the establishment of the University of Moral and Political Science in 1933. As an open-admissions institution originally designed to produce political leaders and civil servants to meet the needs of new society, this University required no entrance examination and class attendance was voluntary. Renamed Thammasat University in 1950, it eventually came to adopt the closed system.

In 1969, the Private Colleges Act was promulgated authorizing private and juristic persons to establish degree-granting private colleges. As a result of this Act, there are at present 11 private colleges with university status. Having realized that the demand for higher education far exceeded the capacity of existing universities and private colleges to cope with, a group of Members of Parliament proposed, in 1969, a bill to establish another open-admissions university which would not limit its student intake.

In 1971, after two years of planning, Ramkhamhaeng University was established as an open-admissions university offering a greater variety of curricula than Thammasat University had: business administration, economics, education, humanities, law, political science, and sciences. True to its conception as

an academic market, Ramkhamhaeng University requires no entrance examination. High school graduates and third-level government officials who are holders of MS 3 (Grade 10) certificates are eligible for enrolment as students. As shown in Table 2, opportunities for higher education were greatly increased by the establishment of the three regional universities and Ramkhamhaeng University. The latter, in particular, absorbed almost 60 per cent of the total number of new entrants in its first year of operation. In 1977, its student intake rose to 80 per cent with a total of 55,800 new entrants. Two years later, in 1979, the number of new students enrolled at Ramkhamhaeng University was 117,532 or more than double that in 1977.

*2.3 The Community College*

Though conceived long ago, the idea of establishing community colleges to make higher education relevant to local communities was first incorporated as a policy in the Third Economic and Social Development Plan (1972–1976) and then once again in the Fourth Economic and Social Development Plan (1977–1981).

It was only in March 1977 that the Government approved the proposal of Prince of Songkhla University to set up a community college in a southern province called Phuket. Having come into existence as a project under the Office of the Rector, Prince of Songkhla University, the Phuket Community College offers a higher certificate programme in hotel management and tourism. Eligible for enrolment as students of the College are high school graduates or holders of certificates and diplomas equivalent to MS 5. To qualify for the higher certificate, a student must accumulate eighty trimester credits.

As part of adult education, in accordance with the life-long education concept, a number of short courses in the travel industry are also offered. Like the regular programme, those short courses are designed to meet the needs of the local community and especially those in the hotel and tourism business.

*2.4 Rural Doctor Programme*

One of the most important factors contributing to the initiation of the Rural Doctor Programme, also known as the Medical Education for Students in Rural Areas Project (MESRAP), was the shortage of medical doctors in rural areas, a problem that is still besetting rural Thailand. Aware of the seriousness

**Table 2**

**New Entrants in Regional Universities and Ramkhamhaeng University**

1964 – 1967

| Year | Number | | | | | | Per cent | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | CM | KK | PS | RH | OTHERS | TOTAL | CM | KK | PS | RH | OTHERS | TOTAL |
| 1964 | 291 | 93 | – | – | 3,578 | 3,962 | 7.4 | 2.3 | – | – | 90.3 | 100.0 |
| 1965 | 375 | 123 | – | – | 5,199 | 5,697 | 6.6 | 2.1 | – | – | 91.3 | 100.0 |
| 1966 | 686 | 103 | – | – | 5,637 | 6,426 | 10.7 | 1.6 | – | – | 87.7 | 100.0 |
| 1967 | 794 | 219 | 50 | – | 8,085 | 9,148 | 8.7 | 2.4 | .5 | – | 88.4 | 100.0 |
| 1968 | 1132 | 196 | 112 | – | 7,583 | 9,023 | 12.6 | 2.2 | 1.2 | – | 84.0 | 100.0 |
| 1969 | 1617 | 315 | 189 | – | 8,629 | 10,750 | 15.0 | 2.9 | 1.8 | – | 80.3 | 100.0 |
| 1970 | 1431 | 463 | 229 | – | 8,437 | 10,560 | 13.5 | 4.4 | 2.2 | – | 79.9 | 100.0 |
| 1971 | 1519 | 449 | 255 | 16,716 | 9,368 | 28,307 | 5.4 | 1.6 | 0.9 | 59.1 | 33.1 | 100.0 |
| 1972 | 1705 | 532 | 240 | 8,453 | 9,583 | 20,513 | 8.3 | 2.6 | 1.2 | 41.2 | 46.7 | 100.0 |
| 1973 | 1637 | 561 | 274 | 12,716 | 8,969 | 24,157 | 6.8 | 2.3 | 1.1 | 52.7 | 37.1 | 100.0 |
| 1974 | 1686 | 650 | 435 | 22,074 | 8,758 | 33,603 | 5.0 | 1.9 | 1.3 | 65.7 | 26.1 | 100.0 |
| 1975 | 1598 | 716 | 660 | 19,990 | 9,846 | 32,810 | 4.9 | 2.2 | 2.0 | 60.9 | 30.0 | 100.0 |
| 1976 | 1729 | 782 | 686 | 41,191 | 10,311 | 54,699 | 3.2 | 1.4 | 1.2 | 75.3 | 18.9 | 100.0 |
| 1977 | 1817 | 863 | 847 | 55,880 | 10,421 | 69,828 | 2.6 | 1.3 | 1.2 | 80.0 | 14.9 | 100.0 |

Source: Based on data from Office of University Affairs, *Educational Report: Institutions of Higher Education, Thailand*, 1964 to 1977.

of this problem, two universities in Bangkok, Mahidol and Chulalongkorn, launched programmes to train medical doctors for rural areas in co-operation with the Ministry of Public Health. The main objectives of this Programme are not only to give more opportunity to students in rural areas to study medicine and to produce more doctors for rural areas, but also to develop appropriate attitude and skills for serving the rural population effectively.

Under this Programme, started by Mahidol University in 1975 and followed by Chulalongkorn University in 1978, 10 to 15 per cent of the new students enrolled are recruited by the Ministry of Public Health and those two universities. However, the recruitment of students by Mahidol University differs somewhat from that by Chulalongkorn University. While the former recruits students from every province, the latter limits its selection to some eight provinces in the East. Students are selected through a series of attitude, aptitude, achievement and psychiatric tests two years before completing secondary education. After graduation, those recruited under this Programme will be assigned to work in their province of origin as assistants to doctors in provincial hospitals, provincial health offices and district hospitals as well as health and midwifery centres.

Because of the limitation in resources, the number of students recruited under this Programme is rather small. So far Mahidol University has recruited only 202 students while Chulalongkorn University, which started with 10 students in 1978, has undertaken to produce 80 medical doctors for various eastern provinces by 1986.

*2.5 Graduate Volunteer Programme*

Initiated as a pilot graduate diploma programme by the Faculty of Economics, Thammasat University, in 1969, the Graduate Volunteer Programme was later approved as a permanent programme offered by the University. Moreover, the certificate granted upon completion of the Programme was recognized by the Civil Service Commission as a "Professional Certificate".

Under the Graduate Volunteer Programme which is one of higher education for development, aimed at linking university education to rural communities, graduates of any domestic institute, college, or university are selected as volunteers. After preliminary training, they are sent to live and work in rural areas. Some are assigned the task of teaching in schools, either primary, secondary, or

hilltribe, while others are involved with social welfare, health and various other development activities.

It can be said that, apart from giving them an opportunity to gain first-hand experience and become aware of rural conditions, this Programme helps to broaden their perspectives and orientates them toward social problems.

Since March 1979, this Programme has been upgraded to become an institute of Thammasat University under the name "The Graduate Volunteer Center". The three main objectives of this Center are as follows:

1. to train Thai graduates in rural realities, to be conscientised, responsible and able to work for the society;
2. to enable and encourage them to work in poor localities and to urge people to participate in community development with appropriate methodology;
3. to provide academic people with opportunities and facilities in rural and development research through which university curricula as well as its community services could be improved.

*2.6 The Open University*

One of the most important reasons for the establishment of an Open University in Thailand was that education should be a life-long process. It should not be bound by the rule that one must have primary education from 7 to 15 years of age, and university education from 17 to 21. Nor should one be misled by the widespread belief that education ends with university. It was because of the growing concern for life-long education and the increasing demand for higher education that the Government, through the Office of University Affairs, decided to set up an Open University.

After three years of planning, the Open University was finally created by Royal Charter in September 1978 under the name of "Sukhothai Thammathirat." Like other conventional state universities, Sukhothai Thammathirat Open University has the right to grant academic degrees. Eligible for enrolment without entrance examination are high school graduates or holders of MS 3 (grade 10) certificates over 20 years of age who have had 5 years of work experience after receiving their certificates.

The establishment of Sukhothai Thammathirat Open University constitutes a major innovation in the history of Thai higher education. Specifically

designed from the outset to be an Open University employing distance teaching techniques, Sukuhothai Thammathirat provides a second chance at higher education to those who, for some reason or another, missed the opportunity education the first time around. Thanks to its use of mass-production methods which change the structure of educational costs and make economics possible, it is generally considered capable of meeting unlimitedly the demand for higher education and the educational needs of the general public.

To enable its students to study on their own without class attendance and working people to undertake further education or training under its Continuing Education Programme to enrich their knowledge or upgrade their professional competence, Suknothai Thammathirat Open University uses a combination of media which comprise printed course materials as the principal medium, radio and television broadcasts, video-tapes and cassette tapes as the support media, and a certain amount of tutorials conducted at regional and local study centres.

As additional details can be found in another paper devoted exclusively to Sukhothai Thammathirat, suffice it to state briefly in this paper that the University's first intake of students took place in December 1980 when a total of 81,969 students were admitted to the Schools of Educational Studies and Management Science. The largest enrolment of students was in the former.

*2.7 Rural Teacher Education Project*

It has always been the intention of the Government to improve and promote all types of education, especially education in rural areas. Conceived by Thai educators who realized that there was a close relationship between schools and communities, the Rural Teacher Education Project was given UNESCO support in 1956 and was first experimented at Ubol Rachathani Teachers' College in the Northeast of Thailand. In this Project emphasis is placed on two concepts in education: community school and community development. As part of their training, the students of this College were assigned to teach in rural schools and work closely with the community.

Having met with success at Ubol Rachathani, this Project was then extended to other teachers' colleges in the Northeast and the North. Eventually it was adopted by other teachers' colleges elsewhere.

In 1969, the Teacher Education Department, Ministry of Education, with UNICEF support, launched a new programme called "Teacher Training-Cum-

Education Extension Programme". The main objective of this Programme was to improve the knowledge and teaching techniques of teachers in rural schools. Designed with the intention of establishing links between schools and teacher education institutions, this Programme is at present a complementary programme to rural teacher education.

*2.8 Environmental Studies*

In Thailand, there is at present growing awareness of the environmental problems, both cultural and natural, that face the country. The contributions of Thai universities to the diffusion of knowledge that pollution and depredations of natural environments are detrimental to the populace have been the major factor in bringing this about. Conscious of their duties which comprise teaching, research, provision of academic service to society, and preservation of national arts and culture, universities accordingly design programmes to increase knowledge in and understanding of environmental problems, and to train personnel to tackle them. The universities that have offered environmental studies programmes are Mahidol, Kasetsart, and Chulalongkorn.

There were other factors that contributed to the initiation of environmental studies programmes in higher education institutions. In 1975, the Act on Promotion and Conservation of National Environment was passed and the National Committee on Environment set up to look after national environment. One of the duties of this Committee is to promote the study of environmental quality at every level of education. Since the Ministry of Education has included environmental studies in the curricula of all the schools under its jurisdiction, it is incumbent on universities to train environmental studies teachers.

Responding to the demand for teachers in this comparatively new area of study, Mahidol University offers five graduate programmes in environmental studies. Kasetsart University offers one, as does Chulalongkorn University. Other institutions offer a number of undergraduate courses.

*2.9 Integrated Rural Development*

Of all the projects in higher education oriented toward community service, the Maeklong Integrated Rural Development (MIRD) Project can be considered to be the most innovative. It all began in 1974 when Kasetsart, Mahidol and Thammasat Universities joined forces to launch a project for rural development.

The area chosen in which this Project was to be carried out was the Maeklong Plains, west of Bangkok, covering a surface of 5,600 square miles and including about 1,800 villages.

Various development programmes were formulated so as to achieve the objectives of this Project, one of which was.

> To evaluate the present status of the population of the Maeklong Plains with specific reference to the feasibility of initiating a programme designed to improve the well-being of a major portion of its people.

The three phases in the development programmes were as follows:

In Phase I, from January 1974 to May 1975, teams were sent out to collect information on the general livelihood of villagers. Typically a team consisted of four persons: a university instructor or researcher as team leader plus students in agriculture, medicine and/or social sciences. The three universities were responsible for different development activities in line with their fields of specialization. Researchers from Kasetsart University were responsible for collecting data on agricultural conditions of the communities. Researchers from Mahidol University were in charge of collecting data on health, medical services, nutrition, environment, population and family planning. Researchers from Thammasat University took care of data on socio-economic conditions.

In Phase II, from June 1975 to June 1977, pilot projects were implemented in selected locations. Kasetsart University was involved with: (a) Crop Improvement Project, (b) Factors in Agricultural Improvement, (c) Pesticide Ecology, Rodent and Plant Diseases, and (d) Improvement of Farming System. Mahidol University Project included: (a) Village Health Volunteers, (b) Community Health Coordination, (c) Nutrition and Family Planning, and (d) Occupational Health and Medical Ecology. Thammasat University was engaged in the following projects: (a) Adult Education, (b) Experimental Research on Group Organization, (c) Research on Villagers and Government Officials Relationship and Cooperation, (d) Credit and Marketing Survey, and (e) Mass-Communication for Development.

In Phase III, from 1977 on, with the approval of the Government, government agencies would carry out the projects. The three Universities would continue to work with those government agencies and engage in research to supplement the work of the latter when required, and to conduct periodic evaluation of the progress in the development of the whole area.

In July 1977, the Project was referred to the Department of Community Development, Ministry of Interior, for appropriate action. After careful consideration, the Ministry of Interior proposed to the Government that the Project be continued and that the name be changed to "Research and Rural Development Volunteer Project" under the supervision of the Department of Community Development. In September 1977, the Government approved the proposal.

### 3. Conclusion

From the brief description above, it can be seen that most innovations were brought about to respond to the immediate problems and needs of the country. During the sixties, regional development led to regionalization of educational opportunities. All the three regional universities established during that period have now been institutionalized. Toward the end of the sixties, the Academic Market University was introduced in order to meet the increasing demand for higher education. In the seventies, community education and life-long education became the guiding principles for the development of higher education. The need for short-cycled higher education relevant to the local community led to the establishment of Phuket Community College. The major factor contributing to the establishment of the Open University was the concern for life-long education.

Other innovations were also concerned with rural development and certain problems facing the country.

It should also be mentioned that university administrators played an important role in initiating and adopting innovations. Of equal importance was the role of policy-makers at the national level in initiating innovations in the area of institution building. Without their co-operation and support at various stages, the establishment of new institutions would have been very difficult. In the area of research and service, as in the case of the Maeklong Integrated Rural Development Project, both university administrators and faculty members had a significant part to play in initiating this type of innovation.

As for the institutionalization of innovations, it can be concluded that most innovations introduced in the sixties have been institutionalized while those introduced in the seventies are at different stages of institutionalization. The Open University, just three years old in 1981, is at the initial stage of its expansion. The Rural Doctor Programme and Environmental Studies are at the trial

phase. The Maeklong Integrated Rural Development Project is at the refinement stage. The innovations as presented in this paper are of course particular to Thailand only. Nevertheless, it can also be concluded that for any innovative project to be successful, leadership, flexibility of rules and regulations, co-ordination and co-operation among agencies concerned and an effective system of evaluation, all constitute the essential ingredients of success. How successful each innovative project will be depends on the degree or nature of those ingredients that come into play.

# STAFF DEVELOPMENT IN HIGHER EDUCATION

## – Experience in Britain –

ROY COX*

Staff development in higher education has been described as inhabiting a twilight world where dreams and realities mix to produce shadowy phenomena, where 'despite the visionaries and despite the considerable thought and effort that is put into planning . . . activity remains generally on a small scale, outcomes are intangible and benefits uncertain' Hewton (1980). The uncertainty may be more in what actually happens to students than in whether staff feel they have benefitted, but all who work in staff development would agree that it is a strange and difficult world, full of threatening dilemmas and contradictions. Staff are exhorted to improve their teaching and punished for spending time on it. Knowledge is not like knowledge in other academic subjects, it may have very little to do with *being able* to teach better and even less with actually teaching better. University teachers are amongst the most highly educated professionals and yet most, when they begin, have probably not even read a single book about the academic discipline which is the basis of their work. Arts teachers often associate staff development with an alien technology, distorting the art of teaching and interfering with the personal nature of the relationship with their students while science teachers may try to learn to teach as if it had a technology like their own – the staff developer who does not agree is either arogant and insensitive or unhelpful and obscurantist. But it is difficult for an academic to believe that *all* that has been written about a subject is nonsense, especially if he has not read any of it. Is he then to become a scholar all over again with a new discipline? Anxieties produce defences and perhaps the sadest thing about the twilight world is that for a whole variety of reasons it is still all too easy to defend yourself against the teaching side of staff development; at the self-interest level – 'it will not help my career' – at the emotional level – 'teaching is just not

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teachable' – and even at the intellectual level – 'learning theory has little relevance to what actually happens in teaching'.

But before we begin to look at the forces working for and against staff development and review the policies and practices designed to support and weaken these forces we cannot yet take it for granted that there is any general agreement about the meaning of 'staff development'.

In Britain the term was in use in industry long before it was first used in higher education in the early seventies, but then it was very much concerned with individual needs, now with economic pressures developing and staff being the major resource, staff development is more concerned with the achievement of the institution's academic development aims. In British universities research opportunities were well established and staff needed few new initiatives to develop in this direction. Staff development therefore came to focus on teaching skills, and in the early years did not emphasise course planning and development. In the polytechnics, the publicly controlled sector of higher education, however, there was often felt to be a need for them to develop research skills and industrial experience so staff development here was not so concerned with teaching. But meeting the strict formal course and degree validation requirements of Council for National Academic Awards (all universities had their own less formal systems) meant that curriculum design soon became an important focus for many staff development activities. But of course, harmony between the individual and the institution, although unhappily not part of our industrial tradition, always has been very important in British higher education and more recent definitions reflect this

> ' – a systematic attempt to harmonise individuals' interests and wishes and their carefully assessed requirements for furthering their careers with the forthcoming requirements of the organisation within which they are expected to work'
>
> Piper and Glatter (1977)
>
> ' – Staff development is a deliberate and continuous process involving the identification and discussion of present and anticipated needs of individual staff for furthering their job satisfaction and career prospects and of the institution for supporting its academic work and plans and the implementation of programmes of staff activities designed for the harmonious satisfaction of those needs'.
>
> Billing (1977)

Greenaway and Harding (1978) in their survey 'The Growth of Policies for Staff Development' looked at policies procedures and practices in universities and polytechnics throughout Britain and it was plain then that only about one quarter of institutions had any clear policy statements available although half the universities and a third of the polytechnics said they were actively considering it. Leicester Polytechnic, however, had a very carefully thought out statement which is a good illustration of the wide-ranging nature of staff development policy and, unfortunately, the all too common gap between what could be done and what is being done. Their policy has five broad aims: to improve current performance, to prepare staff for changing duties, to prepare staff for advancement, to enhance job satisfaction and to encourage personal development. To achieve this they proposed a series of programmes covering (1) induction to the institution (2) initial teacher education, including a variety of different level courses (3) a personal development programme involving discussions with the head of department and Assistant Director about research, courses, exchanges, etc. (4) 'in-house self-help courses' for extending subject, teaching and management knowledge (5) planned change of responsibility' or job notation and (6) leave to attend external long and short courses and conferences.

All this looked very good, but even though polytechnics traditionally put more emphasis on teaching, only half the new staff took the induction course, one third the opportunity to discuss personal development and only 2% thought an in-services course leading to qualified teacher status was desirable. Real commitment to staff development is still in its infancy, but historically it does appear that there are moves to take it more seriously in British universities, and in many ways the ground is fertile.

In Europe, British universities have long had a reputation for taking a personal interest in students, and their very high staff student ratios (now one to nine compared to about one to twenty or more in most of Europe) and relatively low failure rates (14%) have been two of the more obvious expressions of this. Until recently, however, there has been very little formal recognition that the new lecturer may have something to learn about teaching from courses and workshops in a co-ordinated development programme. Only four of the three hundred pages of the 1963 Robbins Report on Higher Education were devoted to teaching methods, but it did 'recommend that all newly-appointed junior teachers should have organised opportunity to acquaint themselves with the

techniques of both lecturing and of conducting small group discussions'. It was only a year later, however, that the Report of the Committee on 'University Teaching Methods' (Hale Report 1964) was published and this contained a chapter on 'University Teaching as a Matter for Training and Study'. In their survey of staff they found that 58% took the view that 'newly appointed university teachers should receive some form of organised instruction or guidance on how to teach', but the Report comments dryly that teaching is usually 'regarded as a duty incidental to a life of scholarship, and whatever the motive which first led him to adopt an academic career he soon realises that it is his achievement as a scholar rather than as a teacher that his advancement in this profession will depend'. Nevertheless, although they did not favour any prolonged course of training, they did consider the existing arrangements 'unduly haphazard' and felt that' a good deal more might be done to help the inexperienced in the skills of giving tutorials and lectures. Such help should be given as a matter of course to all newly appointed staff, without waiting until complaints are heard or mistakes are hardened into habits.'

During the early 1960s a few higher education research and development units appeared and a few disappointed, but apart from the Society for Research into Higher Education, very little was set up in a natural level. In 1972, however, a brief report was published on the Training of University Teachers. The chairman was Sir Brynmor Jones of the Vice Chancellors' Committee and there were representatives of the University Grants Committee (the national body dispensing finance to universities) and the Association of University Teachers in the working group. The Report stated that 'the time has now come when there is a need for the present arrangements to be supplemented by a more formal scheme of training organised at local, regional and national levels'. This time it was suggested that not only the new lecturers might benefit from courses. Week-long advanced courses were recommended for lecturers after 3 – 7 years, together with specialist courses for senior members of staff involved in providing continuing assistance for new teachers or in advising on developments in teaching and lecturing in higher education.

Another important recommendation was the establishment of a Co-ordinating Committee to keep the many needs of university teachers under continuous review and give advice, information and encouragement. This was actually set up later that year with a full-time officer and members nominated by the

Committee of Vice Chancellors and Principals and the National Union of Students. It has run regional and national conferences and produced a newsletter and journal, but with only one full-time member of staff its role was limited and became even more limited this year when the work was delegated to a voluntary committee. But at least in theory the national commitment still exists as it does for the polytechnics in the Standing Conference On Educational Development Services In Polytechnics. (SCEDSIP)

Another development which may eventually be of greater importance, however, was the 1974 Agreement Concerning the Procedure and Criteria to be Used in Connection with the Probationary Period (3 years) UTMU (1975) set up by the University Authorities Panel (the employers) and the Association of University Teachers. This has created a situation where more help will be needed by departments if they are to ensure that the probationary lecturer receives 'a co-ordinated development programme which lasts throughout his probationary period and permits appropriate reports to be made and remedial action to be taken where necessary at regular stages'. But perhaps the most important aspect of the agreement is that as well as making it 'incumbent on universities to provide training for the probationer of a helpful and comprehensive nature' it is stated that 'Advice and guidance by a senior colleague nominated for this task and encouragement to attend formal courses of instruction should be included'. Seven years later the gap between intention – even legal intention – and actual practice is still wide, but the stress laid on the importance of departments as an important focus of staff development activities is one which most staff developers would now support. Institutional committees and central units have an important role in supporting the work of these departmental advisers and in running independent activities, but if the departments do not take an active and supportive role themselves little is likely to be achieved. But the official documents and the traditional concern of British academics for their students as individuals do provide a good basis for staff development work.

If we think about what can be done to support the forces working for improvements in teaching and learning we think in terms of providing the sorts of information, materials and experiences which will meet the needs of staff who want to take their teaching seriously, and institutions which want to fulfil their obligations and support their staff. The earliest forms of information and service support were the media units. The vast expansion of higher education in

the sixties and the emphasis on new technologies raised expectations about improving teaching and changing the balance from labour intensive to capital intensive teaching which were unrealistic and often unrelated to the expressed needs of the teachers they were meant to serve. When the Nuffield Group for Research and Innovation followed up their earlier visits of the mid seventies with an attempt to clarify issues in attempting to support teaching (Supporting Teaching For A Change Hewton (1975) they came to the conclusion that although many units operated in unpretentious ways, meeting the needs of staff, some of the television centres felt that their potential was not appreciated and they could have increased their output by 50% if they had been used properly. Producers were sometimes treated as technicians, but on the other hand academic staff could feel that responsibility for their teaching was being taken away from them when the producers really acted as producers. Perhaps the most successful co-operation has been in the Open University, where producers acting on course teams have often been able to give academics a broader perspective on communication Mason (1979). The Nuffield Group found that co-operation could be successful in traditional institutions, but generally there was still a lot to learn on both sides. Over enthusiasm could make academic staff wary – 'I only came in for a transparency and I had my curriculum taken out'. But as is often the case with student problems having a less threatening reason for coming can make it easier to seek help.

A somewhat easier area for co-operation with media units has been the production of independent study materials, such as tape-slide presentations and the meeting of academics, media staff and students in developing and using materials has been very fruitful, especially in legitimating and facilitating talk about the teaching and learning process – too often a taboo subject in British higher education. With the further development of the Keller Plan and other forms of independent or personalised learning, moreover, staff development through course development is likely to become more important and the integration of media units with teaching development units will be particularly helpful.

In London University, however, the Audio Visual Centre is separate from the University Teaching Methods Unit – UTMU – for administrative rather than educational reasons. This has meant that the staff development role in relation to course development and teaching skills has been somewhat under emphasised in the centre. Since the Teaching Methods Unit was set up, how-

ever, in 1965, course design has been an important activity in consultancy, specialised workshops and the introductory Course for Lecturers. Here it has become the focus of small subject group activity linking what happens on the Course with the direct concerns of the lecturers in the coming year. Relevance is an important new theme in teaching generally in higher education and if the teaching side of staff development is to be successful it must harmonise with what are considered to be the important principles and practices of adult learning. School education courses are criticised for saying one thing and doing another – but the threat of failure often suppresses the criticism. In staff development failure is rarely an issue and in UTMU we try to exemplify six principles – personal relevance, active experiential learning, social learning, autonomy, peer learning and reflectiveness. These six principles probably underlie much of the work of staff developers in Britain now although different groups might emphasise different aspects. The first is expressed most clearly in our expecting participants on our courses and workshops to read to prepare work and to formulate questions and problems in advance and then to contract to put into practice what they have found useful and report on it to a colleague or at a follow-up meeting.

Active experiential learning is encouraged by giving few formal lectures and making those we do give very participative and problem orientated; by the fullest use of video playback of participants teaching and by designing exercises in place of formal presentations. These range from filling in checklists about learning or assessment and comparing these with colleagues to selecting student questionnaires or methods of evaluation and justifying the selection through to rather complex games and simulations, UTMU, 1976.

These merge into the next principle of social learning. We feel that both the satisfaction gained from social interaction and the stimulus to learning has been under emphasised and where we cannot work continuously in small groups we divide into problem solving groups and compare solutions, or use progressive doubling where individuals first attempt a solution or commentary then move into pairs, fours and eights. On longer sessions reading materials are provided and groups or syndicates prepare reports after sharing the work, teaching each other and integrating it. Sometimes the activity is developed as a co-operative/competitive game or simulation so staff can learn about the topic and a new method of teaching at the same time – and when things go wrong, as they often

do, there is a lot to learn from that if the debriefing is well done.

The fourth principle of autonomy is particularly important for adult learners, partly because the life stage means that independence should be used and not suppressed and partly because in times of rapid social and technological change continuous independent learning is essential. Autonomy, moreover, is an important part of academic life. Most of our methods do support the principle but apart from these we do try to negotiate the curriculum as much as possible and draw on the participants problems and experience.

The principle of peer learning is similar to autonomy but gives more emphasis to group responsibility in planning and contributing and taking on the role of critic for each others work. This latter role is important in course design and practical teaching activities using video recording but on longer courses we try to establish peer learning communities, Heron (1974).

Lastly is reflectiveness. If we take the task of developing the capacity for future learning as central then reflecting on the nature of the learning experiences participants are actually engaged in can be experiential at its most personal level. Instead of evaluation of our workshops and course being perfunctory and boring we try to make it engaging activity which contributes to the difficult task of becoming a good educational critic. Questionnaires are useful, but are not central to this. Discussions, group reports and especially diaries are particularly important and while some of this is formal and rigorous much of it is relaxed and enjoyable conversation —often in the bar in the evening.

These staff development activities are supported by the Unit with a wide range of publications and a resource centre which contains tapes, exercises and articles not generally found in libraries. Many centres publish newsletters and the Society for Research into Higher Education has done much to publicise information about both research and development since it was founded in 1964 and has become the main national forum for the exchange of ideas, but international meetings are becoming increasingly important.

With this approach to staff development we feel that the positive forces can be encouraged and relevant practical skills and enthusiasm fostered. But the forces working against this are still very strong and perhaps in the end efforts to weaken these forces may prove to be more effective. Important developments can be seen in the areas of selection and pre-entry, autonomy and sanctions, rewards and punishment.

In many ways the PhD is a very poor way into teaching in higher education skills and often interests are narrowed and potential staff become more and more divorced from the problems, intellectual interests and academic standards of young students and now in Britain graduate students are being introduced to problems and given the chance to develop skills in teaching, Caston, Lloyd-Bostock and Robey (1978). The interest is high and the advantages of involving staff in helping graduate students are obvious. It is very unlikely however that Britain will follow America in establishing a Doctor of Arts as a teaching qualification, Dressel (1977), but there is a growing interest in having an education element in post-graduate degrees and I believe formalising this element could be very helpful.

The second area of opposition is the academic's autonomy which often allows him to develop his own interest and career at the expense of his teaching and, in fact, successfully defend himself against his own doubts about his own competence and need for improvement. Perhaps the most supportive activity here is the encouragement of staff to work in pairs or small peer groups where obligations and mutual help can often do more than formal pressures. The more formal course team too can weaken the isolation and encourage staff in justifying their teaching in a constructive way, as do the validation procedures which are most developed by the Council for National Academic Awards mentioned earlier. These involve evaluation but as yet British higher education has very little evaluation organised on an institutional or even a departmental basis. We believe, however, that sensitive evaluation based upon a wide variety of sources can play a dominant role in staff development provided it is not a routine bureaucratic procedure, but a concerned attempt to understand the very complex and personal learning which makes up the experience of higher education. Forms of accountability, however, should not be thought of as weakening autonomy. Indeed validation, faculty growth contracts and formal discussions about personal development can, and perhaps should, put less emphasis on accounting for past deeds and omissions and more on support and resources for the future.

But this is the concern of the third aspect which involves sanctions. Currently rewards for good teaching are mostly confined to the personal satisfaction which comes from feeling that your teaching is effective and appreciated but slowly more explicit and tangible recognition is being given to good teaching.

Criteria for tenure and promotion are beginning to recognise it (UTMU, 1975) and financial rewards in terms of increased pay and study leave and secondment to staff development units are becoming more accepted. The symbolic value of financial commitment to staff development committees and units is very significant and the current cuts in resources for higher education in Britain have signalled conservative retrenchment more than a radical reappraisal of the value of staff development. But money by itself is not enough and it is probably true that it is only in Sweden that staff feel at all confident that time spent on developing their teaching would not be better spent on promoting their research and publications. Until this is changed staff development is likely to be dominated by the negative forces.

What then is the future for staff development in Britain? Firstly we need to know more about the nature of higher education and the feelings, perceptions and motivation of staff, Startup (1980), and the context in which their work is evaluated, Miller (1975).

Next we need to work towards the integration of the work of central units with departmental advisers, and the work of departments as a whole so that the basic responsibility is seen to lie with the group which has the main responsibility for teaching and is not dismissed by token support for units whose work is really seen as peripheral to the main concerns of the institution. Work at Imperial College London might be a useful model, where UTMU works with a college committee and departmental advisers in the college itself, alternating short full time workshops with continuous regular review of the work of new staff during the year. This does not work as well as it could but from experience so far this approach looks promising, especially if it is supported by centrally run workshops where staff can meet colleagues from other institutions, and if those acting as departmental advisers can benefit from longer and more intensive courses such as the two year part-time Diploma in Teaching and Course Development in Higher Education run by UTMU.

This work, however, would be much more productive if graduate students began to orientate themselves towards teaching before they were appointed so that the anxieties and resistances were a less formidable barrier to the work of staff developers.

But perhaps the most important changes will lie not with organisation and structures, but with the more sensitive reflection upon the experience of higher

education by students as true members of an academic community, rather that recipients, or consumers, and by staff as facilitators of learning rather than dispensers of knowledge. We need to develop a variety of ways and occasions for learning from our own experience (Cox, Rea and Robinson, 1977; Cox, Konitiainen, Rea and Robinson, 1981). Staff developers can help in this but ultimately 'the only learning which significantly influences behaviour is self-discovered, self-appropriated learning' Rogers (1969), and once we have learned this 'long years must pass before the truths we have made for ourselves become our living flesh' (Paul Valery quoted by Elton, 1977).

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# PART IV

# OPEN UNIVERSITIES AND ADULT EDUCATION

# SUKHOTHAI THAMMATHIRAT: THAILAND'S OPEN UNIVERSITY

IAM CHAYA-NGAM*

## INTRODUCTION

Thailand has a long history of uninterrupted independence and sovereignty, hence its name, "Land of the Free". It has a population of approximately 45.5 million (April 1979), of whom 80 per cent live in the country and 47 per cent are over 20 years of age. Despite the governmental policy to reduce the birth rate, the population is still increasing by 2.2 per cent annually. With the exception of the isolated hill tribes, the Thai people have no substantially different social and cultural values. The average per capita income is approximately US $300 per year.

### The Need for an Open University

It all started with a concern on the part of such distinguished educators as Professor Dr. Wichit Srisa-an, Deputy Under-Secretary of State, Office of University Affairs, to extend higher education to individuals who could not go to university for one reason or another.

In Thailand, mass education is already conspicuous at the primary and secondary levels, but the proportion of those who receive the benefit of university education is comparatively limited by the facilities available to them to continue their education beyond the secondary level. Generally speaking, it is mostly because of lack of university places rather than geographical location that a large number of people do not have access to higher education.

The growing concern for life-long education was another major factor contributing to the establishment of an Open University in Thailand. It was felt that the method of imparting knowledge employed and the programmes provided by conventional universities and private colleges were inappropriate

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for working people seeking higher education. They needed alternative study possibilities or a new system of education that would enable them to study on their own without class attendance and to continue their normal occupations while undertaking university studies. One such possibility is the provision of distance higher education by an Open University.

In Thailand, like any other country in the world, parents have always considered higher education as a route to increased wealth and tried their best to provide it to their children because of their conviction that the rewards at the end are well worth the effort.

At one time, aspiring students might have had access to the so-called "academic market" provided by the University of Moral and Political Science set up in 1933 and later renamed Thammasat University. What distinguished Thammasat University from other universities in existence at the time was that there was no entrance examination and that class attendance was not compulsory. Eventually, after being an open-admissions university for some 20 years, Thammasat University came to adopt the closed university system of admission by entrance examination and the system of study practised by other conventional universities.

The rate of increase in the number of secondary school graduates in the last decade has indeed been dramatic. Consequently, the demand for university places was such that existing universities found it impossible to undertake further expansion to accommodate more and more students. Unfortunately, the last decade has also been a decade of economic instability and of prolonged stagnation and inflation. Even in 1981 when the overall trend seemed favourable, Thailand was still beset by a number of economic problems, the gravest of which are the rapid rise in the cost of living by an estimated 16–18 per cent and a record trade deficit of between 60,000 and 70,000 million baht.

In a period of increasing economic stringency, great improvements and large-scale expansion are unlikely to be forthcoming. Although each year institutions of higher education were asked to improve their capacity to admit a greater number of students, the problem of university enrolment remained as chronic and as grave as ever. The Government, however, indicated by word and deed that it was determined to come to grips with this problem. In 1971, another open-admissions university, called Ramkamhaeng, was established to cope specifically with the increased demand for higher education. Although

Ramkamhaeng University had given evidence of being able to absorb an unlimited number of applicants each year, numbering 117,532 enrolments in the academic year 1979, its reliance on class-room instruction began to present many problems, especially those related to the provision of physical facilities. Admittedly, Ramkamhaeng University had set up a second campus near Bangkok to alleviate the problem of over-crowding. It was, however, only a temporary relief measure.

In view of the infeasibility of having Ramkamhaeng University operate simultaneously as both a conventional and an open university, the Office of University Affairs, through the initiative and selfless efforts of Professor Dr. Wichit Srisa-an, decided to set up an Open University which would approximate the true sense of the word "open". After three years of planning under the guidance of Professor Dr. Wichit Srisa-an, the Open University was finally created by Royal Charter in September 1978, under the name of "Sukhothai Thammathirat University", as an open educational institution having as its objectives, "the provision of education and promotion of academic and advanced professional knowledge, research, provision of academic service to society and preservation of culture."

Like other conventional state universities, Sukhothai Thammathirat University is also under the supervision of the Office of University Affairs, enjoys a great degree of autonomy, and has the right to award its own degrees which have the same rights and recognition as those of any other Thai University.

**Origin of the Name: Sukhothai Thammathirat**

It can be stated that the establishment of this University, the youngest of the Thai universities and South-East Asia's first open University, represents another major step in the democratization of education in Thailand. In view of the fact that it was King Rama VII who granted the first Constitution to the people of Thailand, His Majesty the King was asked to bestow a name for the University which would be associated with the memory of King Rama VII.

The name Sukhothai Thammathirat, eventually chosen by His Majesty the King, is associated with King Rama VII in that, before ascending the throne, King Rama VII was styled Krommaluang Sukhothai Thammaraja or Prince of Sukhothai for short.

The word Sukhothai itself has beloved connotations for the Thai people.

As the first Thai Kingdom and the original seat of Thai culture and learning, Sukhothai was, indeed, a land renowned for its democratic institutions. "In the water there is fish, in the fields there is rice", says an ancient inscription of the Sukhothai period. "He who wishes to trade, may trade; he who wishes to study, may study . . ."

His Majesty the King also permitted King Rama VII's personal coat of arms to be used as the University Crest, thus confirming his intention that the name Sukhothai Thammathirat indeed honours the memory of King Rama VII.

The establishment of Sukhothai Thammathirat Open University, STOU for short, marked the first adult home-based university studies programme to operate in Thailand. Holding to the principle of life-long education and aiming at improving the quality of life of the general public in response to the ever increasing demand for higher education, STOU considers its mission to provide equality of opportunity for university education to people in all walks of life as an extension of the Thai Government's policy of the democratization of education, making the best possible use of the existing infrastructure in the country to develop human resource.

Through distance teaching techniques and relevant teaching media employed by STOU, working people in various professions throughout the country, especially those in remote areas, will be given an equal opportunity to have access to both higher education and professional training at little cost, without having to stop working while studying. In this way, STOU can upgrade the educational standards and the professional competence of working adults who are comparatively less privileged than others. It is expected that this will help improve the quality of life, increase national productivity, and thereby promote social equity in Thailand.

## ACADEMIC STRUCTURE

In accordance with the above-mentioned philosophy and objectives, STOU offers two types of programmes of study: degree and non-degree programmes. The course offerings are related to the major national needs and their compatibility with the University's distance teaching system. For non-degree programmes, specially designed courses are offered as an educational service to the general public so as to promote personal development and professional competence.

**Schools**

It was intended from the beginning that the various major disciplines should be brought into contact and dialogue with each other. Hence, STOU does not follow the traditional practice of organizing a university into faculties and departments. Instead, it consists of major study areas or schools. The schools of the University, established so far, are liberal arts, educational studies, management science, law, economics, home economics, agricultural extension and co-operatives, and health sciences.

**Boards of Studies**

Each school will have a Board of Studies which consists of a Chairman and 3–7 members to be elected by the fulltime staff of that school.

Each Board of Studies will be in charge of all the academic and administrative matters of the school, as well as other assignments entrusted by the University Council or the Academic Senate.

**Academic Assessors**

Each school will have some 5–11 Academic Assessors to advise on academic standards, curriculum development, instruction, evaluation, and educational services. Besides their advisory capacity, Academic Assessors will also serve as the University's external examiners.

Academic Assessors are appointed from those considered outstanding in the academic community.

**Requirements for a Degree**

STOU divides the academic year into two semesters. Each semester consists of no fewer than 15 weeks of instruction. Each course in a school is called a block, each block being worth at least 6 credits. Courses are arranged in blocks so as to provide an integrated study of interrelated subjects. A student must register for at least one block, but cannot take more than three blocks each semester, until he has the requisite number of blocks to graduate.

**Evaluation System**

STOU measures the quality of a student's work by a system of grades. The grading system consists of three grades, "H" (Honours), "S" (Satisfactory)

and "U" (Unsatisfactory). To qualify for graduation in the degree programme, a student must obtain a grade "S" in all the blocks required for a degree in a given area. To qualify for a second-class Honours degree, a student must obtain "H" in at least half of the number of blocks required for a degree in a given area. To quality for first-class Honours degree, a student must obtain a grade "H" in at least three fourths of the number of blocks required for a degree in a given area.

For a degree programme the student must complete some 22–24 blocks, whereas the student studying for a degree continuation of his certificate or diploma has to pass only 12 blocks. The maximum time to qualify for a degree must not exceed three times the period set down in each curriculum. Thus, the student is allowed to earn a degree in 4–12 years if it is a four-year degree programme, in 2–6 years if it is a two-year degree continuation programme.

When a student has built up a sufficient number of blocks required for a degree in a given area, he must undergo an intensive professional enrichment programme which is designed to evaluate the knowledge he has acquired and his potential in its applications. Only when he has undergone such a programme will he be considered to have completed all the requirements for a degree.

**Methods of Instruction**

In accordance with Section 6 of the Sukhothai Thammathirat University Act, B.E. 2521 (1978) which states:

> "The education provided by the University shall be given through correspondence, radio and television broadcasting or other media which will enable students to learn by themselves without having to attend classes. Eligibility for enrolment and admission to the University shall be in accordance with the regulations prescribed by the University Council and shall be without entrance examination."

STOU employs the distance education system to impart instruction. To enable the student to undertake independent study with a minimum of assistance, the University divides each block into 15 units, a unit requiring one week of study, and uses a combination of different media to render teaching as effective as possible.

The teaching media STOU relies on consist of printed self-instructional course materials, audio cassette tapes, and a certain number of radio and televi-

sion broadcasts along with varying amounts of face-to-face tuition at local and regional study centres. Although printed material constitutes the principal medium of instruction, it is deemed advisable to provide audio cassette tapes as well as radio and television programmes as support media to reinforce the content of the print, to stimulate the student and to make him feel less isolated in his study.

Of equally great importance is the provision of a certain degree of personal contact in the form of tutorial sessions held at study centres established in every town throughout the country. All students are designated a study centre according to the town in which they live. Attendance at the study centre is entirely optional. Though not compulsory, tutorial sessions are considered as valuable adjuncts to the printed course materials. They help break down the isolation of home-based students and offer them a chance to discuss any problem or aspect of their course content with tutors and meet with other students.

It should be pointed out that in a developing country like Thailand, mass communications are not advanced enough; nor are they extended to all country areas. As a result, and for economic reasons, STOU has not adopted a large scale use of broadcast media as a teaching medium.

However, it is interesting to note that STOU printed course materials are devised not by single academics but by course teams, each of which comprises some seven outstanding content specialists, one educational technologist and one evaluation specialist. Apart from these content specialists who also serve as course writers, there are also a varying number of course writers who are not course team members. Some writers are full-time staff of the relevant School; others are drawn from various universities and agencies, including some from the private sector. As regards the printed course materials, they are specially structured to enable the student to study by himself unaided and so produced as to render additional oral explanation or comment almost unnecessary.

All in all, students are expected to study from 15 to 18 hours a week. Some 70 per cent of the time is spent on reading the printed texts, the rest being devoted to listening to weekly radio programmes, watching three-to-five television programmes for each course, and attending face-to-face tutorials at study centres, once a month on weekends, altogether some 6 to 8 hours per course.

**Full-time and part-time Staff**

As STOU provides only home-based study and uses a variety of teaching media to impart instruction, the number of full-time staff required is smaller than that in other universities.

The University intends to have only the necessary personnel to provide academic and support services. Normally one instructor is responsible for 1 block or 6 credits. A degree programme which consists of 22–24 six-credit blocks needs some twenty full-time staff members.

Assistance in the preparation of course materials and other services has also been sought from experts from outside bodies and staff members of other universities whose academic achievements have been outstanding. This assistance has been arragned through borrowing, contracting, or hiring on a full-time or part-time basis. Such a measure makes personnel utilization much more flexible and economical.

At present STOU has a total full-time staff of 344, 38 of whom are academic staff. It is expected that when the University has grown to its full capacity, it will have a full-time staff of 500 to 600, of whom one third will be teaching staff. As for part-time staff, apart from a large number of those who are hired on a daily or monthly basis to do seasonal or specific work, STOU has almost 7,000 part-time academic staff recruited locally and assigned as tutors at 75 study centres in secondary schools, teachers' colleges, and provincial universities.

## ADMINISTRATIVE STRUCTURE

The open-door policy for the admission and upgrading of the less privileged group of people whom the conventional universities cannot cater for is not the only evidence of STOU's openness. Equally open is its policy for the recruitment of a large number of outstanding academic staff from various other educational institutions to serve as travelling lecturers or tutors at local study centres. Another instance of openness, and indeed of uniqueness in the history of Thai universities, can be seen from the administrative structure of STOU, especially the composition of the University Council and the existence of the Academic Senate. It is these two bodies that govern the University, headed by a Rector, and not simply the University Council as is the case in other Thai universities. According to the Sukhothai Thammathirat University Act of 1978, the powers

and duties of these two university bodies are as follows:

**The University Council**

As the supreme governing body, the University Council has the authority and duty to control and supervise the conduct of all the University affairs and especially the following powers and duties:

(1) to formulate the policy of the University relating to instruction, research, educational services to society and the preservation of culture, so as to be in conformity with the objectives of the University and the State policy;
(2) to issue the rules and regulations of the University;
(3) to approve the awarding and conferring of degrees, diplomas and certificates;
(4) to consider the establishment, dissolution, merger, and abolition of the Office of the Rector, any Institute, Office or School, as the case may be;
(5) to approve the affiliation of other institutes of advanced education;
(6) to consider the appointment and dismissal of the Rector and Professors;
(7) to approve the appointment and dismissal of Vice-Rectors, Directors and Deputy Directors of Institutes, Directors and Deputy Directors of Offices, Associate Professors and Assistant Professors;
(8) to issue rules relating to finance and properties of the University;
(9) to appoint *ad hoc* committees to carry out any assignment as entrusted by the University Council; and
(10) to carry out other duties relating to the University affairs that have not been specifically entrusted to any person in particular.

The University Council, chaired by a President to be appointed by the King, comprises the Under-Secretary of State for University Affairs or his representative, the Director-General of the Public Relations Department or his representative, the Director-General of the Post and Telegraph Department or his representative, the Director of the Mass Communications Organization of Thailand or his representative, the President of the Communications Authority of Thailand or his representative, the Rector, all of them being *ex-officio* members, a representative of the Academic Senate, and 4–9 qualified members

to be drawn from various external bodies and appointed by the King.

**The Academic Senate**

Being responsible for the academic affairs of the University, the Academic Senate has the following powers and duties:

(1) to set academic standards and supervise all matters connected with curricula, instruction and evaluation;

(2) to propose the awarding and conferring of degrees, diplomas, and certificates;

(3) to propose the establishment, dissolution, merger, and abolition of any Institute, Office or School;

(4) to consider the affiliation of other institutes of advanced education;

(5) to propose the appointment of qualified persons as members of the University Council;

(6) to give advice on the appointment and dismissal of Professors, Associate Professors and Assistant Professors;

(7) to find ways and means to develop the instruction, research and other educational services of the University;

(8) to advise the University Council on academic affairs; and

(9) to appoint *ad hoc* committees to carry out any assignment as entrusted by the Academic Senate.

The Academic Senate, chaired by the Rector, comprises Chairmen of Schools, Directors of Institutes, Directors of Offices, and Professors, all of them being *ex officio* members. There are also a number of members, each of whom is elected by the full-time staff of a given school.

The composition and terms of reference of these two policy-making bodies constitute a new and original idea for Thai universities. The originality of STOU University Countil, unlike that of any other Thai university which consists mostly of internal people, lies in its composition almost exclusive of members from within the University: only the Rector and an Academic Senate member represent full-time STOU staff on this Council, the rest being outsiders. As head of the University, the Rector also reports directly to the University Council. Apart from being largely non-STOU, the membership of this Council has another distinguishing feature: it includes, as *ex-officio* members, heads of government departments or organizations connected with the media or

facilities used by the University. Experience suggests that the linkage with mass media thus established has proved to be a most valuable asset for STOU.

As the sole body that formulates all the academic policies of the University, STOU Academic Senate can be considered as an innovation in its own right. Never in the history of higher education in Thailand, prior to the establishment of STOU, was there any particular body exclusively in charge of setting academic standards and supervising their maintenance, among other academic tasks. It is hoped that under the guidance and close supervision of such a body STOU will be recognized in no time as an institution that produces graduates of unquestionably high academic standards and professional competence.

Other organizational components of STOU are Office of the Rector, Office of Educational Services, Office of Academic Affairs, Office of Educational Technology, and Office of Registration, Records and Evaluation. Compared with that of a conventional university in Thailand, the Office of the Rector of STOU has almost the same structure and responsibilities. It comprises 4 divisions: central, finance, procurement and property, and planning. The other four Offices are particular to STOU and have the following areas of responsibilities:

**Office of Educational Services**

This Office is responsible for the packing and distritution of course materials to students through the Centre for Correspondence Studies; the administration and co-ordination of study centres, regional and local, to provide tutorial services through the Regional Affairs Section, and the provision of educational and career guidance and counselling through the Counselling Section.

**Office of Educational Technology**

This Office is responsible for the production of graphic work, photographic work, microforms, and educational films through the Audio-Visual Centre; the production of educational radio and television programmes, and the co-ordination with various radio and television stations for the broadcasting of STOU programmes through the Centre for Educational Radio and Television; the printing of self-instructional texts, books, handbooks, work books, and all kinds of documents for the University through the University Press;

the acquisition of textbooks, documents and audio-visual material for use of the staff and the establishment of subsidiary library units at study centres through the Information and Documentation Centre; and the management of educational media system and the undertaking of educational media research for the future improvement of course materials and methods of instruction through the Management System and Educational Media Research Section.

**Office of Academic Affairs**

This Office is responsible for the provision of secretarial services to the academic staff of various Schools, course teams, School Boards and the Academic Senate. In particular, it is in charge of the co-ordination of training programmes of teaching staff through the Academic Staff Development Section; the development of curricula and teaching through the Curriculum and Teaching Development Section; the provision of support services to researchers and the co-ordination of research work through the Research Section; and the promotion of writing and translating textbooks through the Textbook Section.

**Office of Registration, Records and Evaluation**

This Office is responsible for student application for admission through the Admission Section; student registration, course registration, student statistics and academic performance through the Student Record Section; the evaluation and analysis of student academic performance, the arrangement of examination time-tables and centres, and the provision of services on testing through the Assessment Section; the devising, researching, and developing of test papers through the Centre for Research and Development in Testing; and the provision of computer services through the Computer Centre.

## ACADEMIC BACKGROUND OF STUDENTS ENROLLED IN 1980–1981

In the 1980 inaugural academic year beginning December 1st, STOU enrolled a total of 81,969 students, including 68 Buddhist monks, in two Schools: the School of Educational Studies and the School of Management Science. Within educational studies the major areas of study are elementary education, secondary education, and educational administration. In management science the major area offered is construction management. The sectional breakdown in terms of Schools and programmes is as follows:

| | |
|---|---|
| EDUCATIONAL STUDIES | |
| Vertificate of Education | 1,728 |
| Elementary Education | 29,531 |
| Secondary Education | 24,825 |
| Educational Administration | 19,079 |
| MANAGEMENT SCIENCE | |
| Construction Management | 6,806 |

The School of Liberal Arts has, at present, no students of its own as such. Rather, it provides a number of foundation courses within the framework of the other Schools, and according to the needs of the latter.

Eligible for enrolment, without entrance examination, in the School of Educational Studies, are in-service teachers or those connected with teaching. In addition, they must also be:

a) holders of Teaching Certificates, MS5 Certificates or their equivalent;
b) holders of Higher Teaching Certificates or diplomas or their equivalent;
c) holders of MS3 Certificates or their equivalent who have been teaching for not less than five years after receiving their MS3 Certificates and who are over 20 years of age as of the 1st of June of the enrolment year. In the academic year 1980, those with the above qualifications were allowed to enrol in the Certificate of Education programme only.

Those majoring in Construction Management in the School of Management Science are holders of Higher Professional Certificates or their equivalent in the fields of construction, civil engineering, architectural engineering, transportation engineering, engineering surveying, irrigation engineering, architecture, civil engineering drafting, architectural drafting, and such other fields related to construction work as approved by the Academic Senate. In addition, they must have had at least two years of work experience.

It should be noted that since STOU students are already working people, their employment prospects are likely to be enhanced after graduation. In the 1982 academic year beginning July 1st, the number of working adults expected to enrol as students in all the Schools of the University will be in the region of another 150,000, with some 60,000 of the present intake continuing.

## CONTINUING EDUCATION PROGRAMME

STOU is aware of the importance and desirability of enabling working

people to develop their skills and gain the kind of knowledge essential for their professional competence. To supplement and reinforce their initial education and training, STOU started its Continuing Education Programme in June 1981 by offering 5 six-credit courses or blocks, selected from the degree programme, to whoever wanted to participate in this Programme as associate students, regardless of age, qualification and profession. Those courses were Foundation English, Thai Studies, Education and Life and Community, Foundations of Education, and Principles and System of Educational Administration. The total enrolment in this Programme was 939. Contrary to all expectations, the performance of a large number of associate students in the Continuing Education Programme proved remarkable far superior to that of many a degree-programme student. Of the 486 associate students who sat for the examination, 223 passed, which is the same rate of percentage as in the case of regular students: 46 per cent. The results of the examination taken by regular students and associate students, on comparison, were such that the University hopes that eventually it may be possible for anyone over 20 to have open entry into some degree programmes, regardless of qualifications.

## THE FUTURE OUTLOOK

What has been stated is a brief description of the main features of STOU. Although it may seem too premature to assess the success of this University which is only in its infancy, a great degree of progress has already been achieved and this despite the various constraints STOU has been faced with since its birth. Even now, after three years of existence, STOU is still without a permanent home and all the desirable and necessary equipment and facilities: nearly all the radio and television programmes being produced at rented studios. Strictly speaking, the University cannot possibly rely on the budget allocated by the Government which amounts to only about 15 per cent of the operating expenses. Without the fees collected from students, STOU would have been unable to make such headway and gain such momentum as is evident at present. For its permanent site, a piece of land on Chaeng Watana Road, about 20 kilometres out of Bangkok, has been donated and bids for the construction of various buildings will be called in early 1982. Once completed, STOU headquarters will house all the Offices mentioned earlier and, in particular, an Educational Broadcasting Production Centre, the University Press, recording

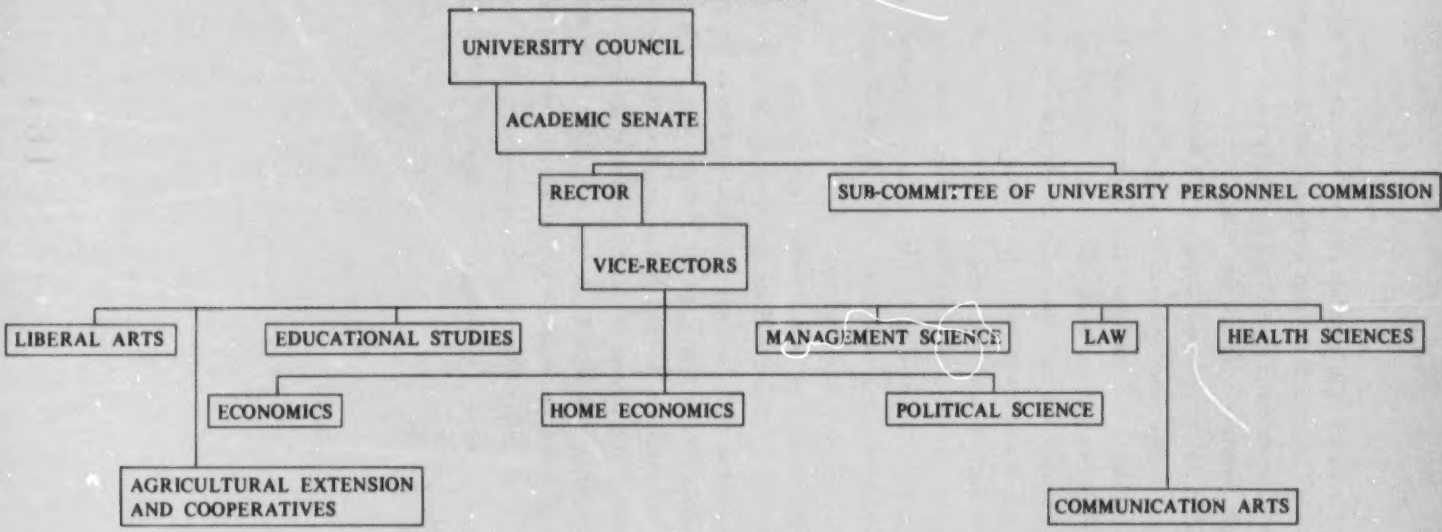
studios, and an Office of Information and Documentation. In the meantime, the University will have to manage with whatever facilities it can have access to and make use of them on either a rental or a borrowing basis.

Though departing from all the other existing conventional universities in Thailand in that instruction is imparted at a distance and not in classrooms, STOU is nevertheless concerned with the kind of academic standards and excellence to be achieved and maintained just as much as any other Thai university. Despite special care and scholarship devoted to the preparation and production of course materials and radio and television programmes, it appears that some materials, judged adequately well prepared prior to being offered to the student, turn out to need revision after only one semester. Fortunately, STOU has a fairly effective system of feedback that enables course writers and those concerned with the production of teaching media to know the kind of additional assistance to be provided to students and to assess the success of the distance teaching materials they have produced.

It should be pointed out, however, that the distance education system used by STOU is still in the experimental stage. Much remains to be revised and reorganized to meet the needs of students and the general public. Although STOU academic staff finds no cause for complaint about the low level of motivation and enthusiasm on the part of the students, the majority of them being working adults, the success of this University which has committed itself to distance education still depends on various factors. It depends, among other things, on an ever-efficient postal service to cope with the future increase of students, on the effectiveness of relevant support services to be provided by various agencies and on there being continuing support, be it financial, political or otherwise.

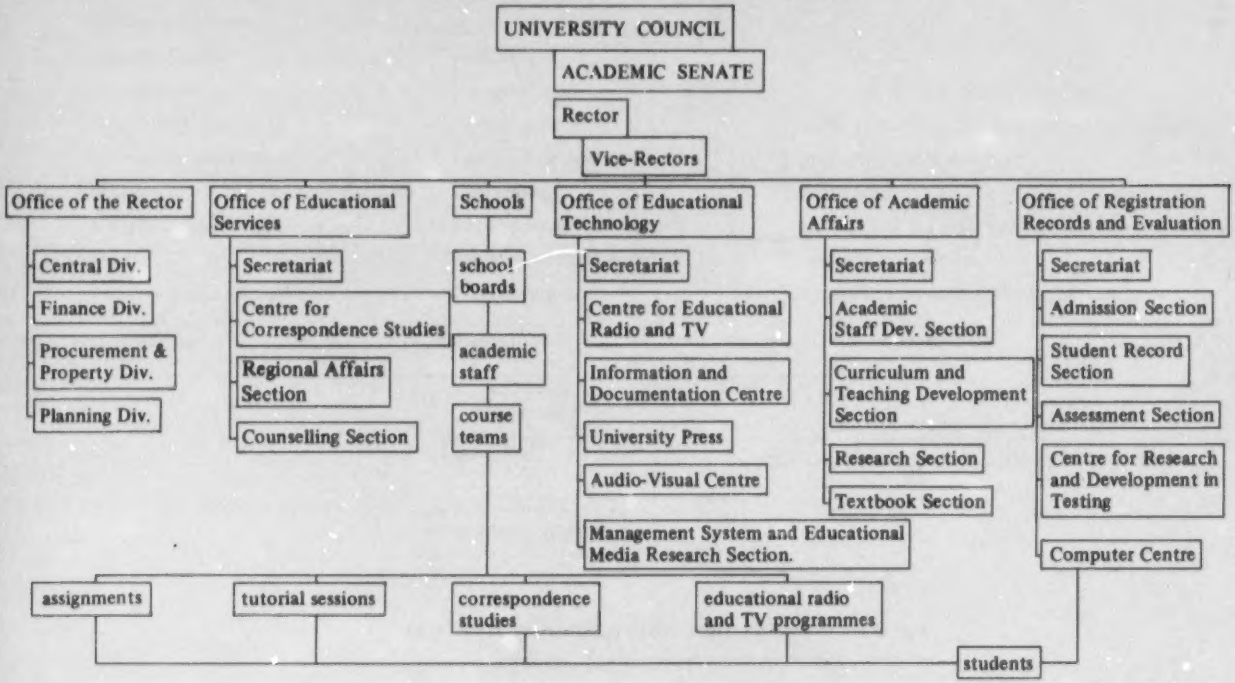
Sukhothai Thammathirat Open University

**ACADEMIC ORGANIZATION CHART**



Sukhothai Thammathirat Open University

**ADMINISTRATIVE ORGANIZATION CHART**



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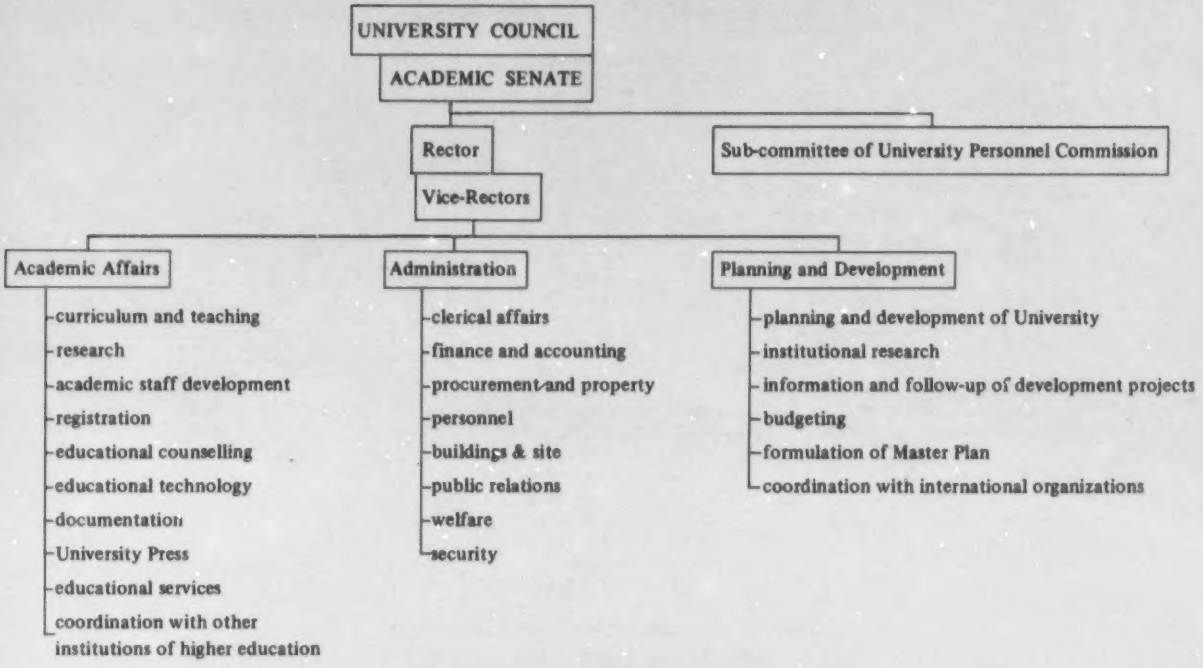
Sukhothai Thammathirat Open University

**CENTRAL ADMINISTRATION ORGANIZATION CHART**



# HISTORY AND PROSPECT OF THE KOREAN AIR AND CORRESPONDENCE COLLEGE

MYONG-WON SUHR*

It affords me special pleasure to be here today for the purpose of making a speech on the History and Prospect of Korean Air and Correspondence College, of which I served as Chairman of the Planning Committee in 1969.

The purpose for the establishment of the College was to provide the opportunity for a college education for those who can not afford to attend regular colleges, by means of broadcasting-correspondence with limited class attendance. But the actual purpose for the establishment was not as realistic as mentioned above. The whopping increase of high school graduates who burned with the desire for learning at higher institutions gave impetus to the foundation of an air and correspondence college in Korea.

Owing to limited enrollment of colleges and universities under the policy of strict restriction by the Government, applicants for entrance to the colleges and universities were subjected to extreme difficult tests in order to enter the colleges and universities to which they made application. Such stiff competition resulted in repeaters who initially failed in the entrance examination for higher education. The repeaters, whose number came to pile up year by year, became one of the countries' most critical social problems. Asked to devise measures to solve such social problems as repeaters at a plenary session of the National Assembly, Mr. Obyung Kwon, the then Minister of Education, announced the Ministry's intention to establish the Air and Correspondence College, incidentally I was a professor of Seoul National University, without any proper examination of this matter in advance.

There had been many complications before I was appointed Chairman of the Planning Committee for the Establishment of the Korean Air and Corre-

* President, Chungnam National University Yuseong, Korea

spondence College.

The criteria set forth by the Ministry of Education were so disagreeable to Korean society that I made several proposals to the effect that the College should serve the purpose of providing a learning center of life-long education for the benefit of the aged and economically handicapped persons, rather that for the relief of repeaters. The aged persons I mentioned here would not necessarily mean those of old age but those who were not able to enter colleges at the usual age because of the absence of such colleges at that time. The conditions of the original draft made by the Ministry of Education were as follows: The college would enroll 5,000 students per department and consist of four departments: Public Administration and Business Management for future government officials, Home Economics for women, Animal Husbandry for rural youths. The education received by graduates of this three-year College would be considered to be equivalent to that obtained by those graduating from junior colleges.

At the last moment, my proposals were approved to the exclusion of provision for the establishment of the broadcasting station on the campus of Seoul National University Campus as follow:

1. Proper reducation of student enrollment
2. The establishment of a department of elementary education
3. The establishment of a department of agronomy instead of animal husbandry
4. The adoption of a two-year college system equivalent to that of junior college instead of a three-year college system

The last item was a result of my careful study of such a system as in Japan, where a bachelor's degree is offered in further regular class attendance. The two-year system rather than the three-year system required more home assignments and class attendance on the part of students.

As Chairman of the Planning Committee, I was faced with another difficulty despite of the fact that through ups and downs every arrangement had been made as scheduled. The negative and uncooperative attitudes of the professors of Seoul National University (S.N.U.) barred us from the normal operation of the College. They, without vocally dissenting, objected to attaching the College to such an authoritative and prestigeous, elite institution as Seoul National University for fear that S.N.U. should be contaminated by impurities.

They rejected the plan to utilize the professors and facilities of S.N.U.. Incidentally private universities, on the other hand, were enthusiastic in their support for the foundation of an air and correspondence college, which had been turned down by the Ministry of Education. Up to the present time, even after a decade since its establishment, no transfer student from the College has been admitted to S.N.U. as a result of such stereotyped ideas as decided by the faculty meeting.

The selection of an applicant for admission to the College was made by means of screening written applications with reference to geographical distribution, and preferential treatment for government officials, teachers and army service men. But such a procedure was considered to lack reliability in screening applicants.

Once arrangement to open the College in the wake of such difficulties as mentioned above was provided, the College had to designate cooperative schools around the nation. National universities and teachers' junior colleges scattered around the nation were designated as cooperative schools, in which students were required to attend classes during the summer and winter recess periods. The means of instruction consists of regular lectures through radios, class work, and home assignment.

Most faculty members are very enthusiastic in response to the students' exuberant enthusiasm for learning even under unfavorable circumstances. The professors who teach at the cooperative schools are paid only meager teaching allowances and are now deprived of privilege of enjoying vacations, while the students tend to enjoy real campus life to the full through interactions with fellow students and faculty members, in spite of the fact that they are confronted with a negative attitude on the part of their empolyers.

In the meantime, the compilation of textbooks hit a snag. The textbooks used by regular colleges and universities were so inadequate for the students of the air and correspondence college in terms of quality and price that the authorities concerned requested that some S.N.U. professors compile textbooks for them with due considerations for their relative difficulty. The professors who had had negative attitude concerning the College were benefitted by exceptionally good treatment in compiling the textbooks including a good royalty on their work.

Agricultural Cooperative Unions with a nationwide network have been

distributing the inexpensive textbooks printed by S.N.U. Press. The textbooks are now being revised every three years to keep pace with the trends of our rapidly changing society.

Instruction through the broadcasting media has been conducted twice every day, from 6:10 to 6:55 (for 45 minutes) in the morning and from 23:00 to 23:45 in the evening throughout the year even on holidays. The 45-minute class is made up of three different course. Even though six different courses are broadcasted for ninety minutes every day, the students with five heterogeneous majors are put in a fix because of the restricted number of lecture hours.

For the convenience of the students, cassette tapes are sold in an effort to provide them with the opportunity to review what they have learned and to receive the lectures they have missed. The library corner installed at each cooperative school is at their service all the time.

Radio programs, provided by courtesy of the Korean Broadcasting System (KBS), have been conducted exclusively for the benefit of the students of the Korean Air and Correspondence College. But to our delight, it is reported that approximately 400,000 people, especially those living in the rural areas, have been listening to the programs, which serve, in a sence, as a means of adult education.

The reasons for such popularity among the people are deemed to be as follows:

1. The College plays a role in civic education.
2. The quality of the cultural courses is high enough.
3. The programs on agronomy and home economics are relevant to actual life.
4. The programs on business administration and public administration are conducive to better business practices and the passing of the various examinations for higher positions.
5. The program on elementary education is of help to inservice teachers.

Now turning to the results of the operation of the College since its activation in 1972, we have reaped an abundant harvest. More graduates than we had expected have passed the various examinations administered by the Government or were accepted as juniors in accredited regular universities. The College has produced more successful candidates for the government administered examinations than regular junior colleges. It is, however, much to regretted

that there have been a considerable number of students who were dismissed and withdrew from the College for one reason or another.

The Colleges is now housed in a newly built modern building located on the S.N.U. campus is planning sufficient up-to-date facilities and equipment to comply with the full requirements of the students' desire.

An alumniassociation was organized for the purpose of cultivating and strengthening of mutual friendship among the members, promoting positive cooperation, and making a contribution to the development of their alma mater. The Association has grown through the years and carries out projects designed to fulfill its pledge to promote friendly bonds among its members and to render assistance in the development of its alma mater.

A long-range academic plan which extends until 1986 provides for the expansion of the College in terms of both quality and quantity. By 1986 the Korean Air and Correspondence College will have been expanded to nine departments, 220,000 students, 1,200 faculty members and staff, more cooperative schools, and an independent broadcasting station. In accordance with the plan, the College was elevated in 1981 to the status of a five-year college whose curriculum leads to a bachelor's degree.

The expanding College has created some problems which require our careful consideration, because the physical expansion without a commensurate qualitative advancement is liable to produce something akin to an oversized kid. The first problem, is whether or not the graduates of the Korean Air and Correspondence College are eligible for a bacholor's degree, with the equivalent of regular colleges.

The second problem is whether or not the College is capable of carrying out its mission as an excellent learning institution, under present circumstance in which the College is attached to Seoul National University. If the College is expanding properly enough to be run independent of S.N.U., I also propose that one or two more air and correspondence colleges be established.

In retrospect, the issue of the Korean Air and Correspondence College has been more or less controversial with numerous difficulties. However, the strong desire expressed by the students and the faculty members alike has paved the way for what the College is now. The priceless experience gained during the past years proves the pride of every member of the College family. Nothing can sway the firm stance of the students or faculty members as they

vigorously pursue their inherent goal.

# ADULT LEARNING IN JAPANESE HIGHER EDUCATION:*

## A Consideration of Economic Aspects

MASAKAZU YANO**

## I. INTRODUCTION

The purpose of this paper is to describe the present condition of adult learning in Japan's universities and industries, and to make clear the role that Japan's special economic structure plays in determining that condition.

In recent years, Japan has experienced an increase in social demand for adult learning, and has seen new emphasis placed on the need to revise the traditional university educational system, which until now has been centered around young people. In response to this demand, the government has made various proposals and policy decisions aimed at constructing a new educational system, and universities have begun to actively recruit adult students. However, despite these efforts, adult students enrolled in university programs remain few in number, and adult learning as a concept has had little impact on the overall university educational system.

One reason for this may be found in the conservative nature of universities with respect to social change, but this is not the only explanation. A more important consideration is the wealth of non-university educational opportunities, and the availability of on-the-job training programs. In order to understand, therefore, the current state and future possibilities of adult learning in a university setting, we must first give consideration to the relationship which exists between university and non-university adult learning opportunities, and evaluate that relationship in terms of the economic function of education.

With these considerations in mind, it seems appropriate to begin by intro-

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ducing the present state of adult learning in universities, along with related governmental policies. Subsequently, the nature of non-university adult learning opportunities will be summarized, based upon the results of various surveys. It should be pointed out, however, that these surveys have been sporadic in nature, and therefore leave many gaps in our knowledge, particularly with regard to adult learning that takes place in the workplace. In order to supplement this incomplete knowledge, four distinct economic frameworks will be formulated which are directly applicable to adult learning. By relying upon these frameworks, a clearer picture of the special characteristics informing adult education in Japan should emerge. Finally, several policy implications will be presented at the conclusion of the paper, based upon the above points of discussion.

## II. ADULT LEARNING IN JAPANESE HIGHER EDUCATION

Post-war higher education in Japan grew rapidly, but reached a peak in 1976; since that time it has remained stable. Looking at this growth in terms of admission ratio (the ratio of higher education entrants to the total 18 year-old population) we see a sharp rise from 10% in 1960 to 39% in 1976. In contrast to this, the 1980's have thus far evidenced a levelling off at around 37%.

Because governmental policy during the 60's and 70's focused on meeting the increasing demand for higher education among high school graduates, little thought was given to the problem of adult learning. Of course, there were various institutions which played an important role in providing working people with further education, in the form of evening courses, correspondence education, and workers' education programs. However, it must be admitted that these programs went into decline as Japan's economy and standard of living improved. Evening courses began to be used as an alternative educational institution by those who were not qualified to enter regular daytime classes; there were even some universities that discontinued evening courses altogether.

Against the current background of economic decline and a stagnant admission ratio, however, a new priority has emerged in governmental policy which seeks to reform higher education, making it more responsive to present needs. That priority, simply stated, is the development of universities which are open not only to young people just out of high school, but to all members of society.

A re-evaluation and restructuring of adult education has begun, including evening courses and correspondence education. In addition, new programs have been established at some national universities, including "day and night" schooling system, extension programs, and learning centers. Not only this, but plans have been laid by the government to open the University of the Air in 1985, which will act as the central institution for those who wish to pursue "life-long learning".

It is clear that we have entered a transitional stage, and that universities are shifting their focus from youth-centered programs and quantitative expansion to flexible and diverse systems which can accommodate adult students as well. It is anticipated that future higher educational policy will continue to emphasize the development of universities which make life-long learning possible. Although the changes mentioned above are at this time only partial in nature, it might still be useful to give a brief description of recent developments.[1] (Please refer to the charts included in the appendix I.)

**i. Adult Enrollment in Universities**

There were 3,949 adults enrolled in Japanese universities in 1981. ("Adults" are defined as people who entered the work force upon graduating from high school or comparable institutions, and who therefore come back to higher educational programs after a hiatus.) This number represents less than 1% of the total university enrollment (413,000). There were 7,380 adults enrolled in junior colleges, which represents approximately 4% of total enrollment in those institutions. These numbers indicate that at present nearly all university students enter college immediately after graduating from high school, however, it should also be noted that the number of universities that have introduced special entrance selection systems for adults has been on the rise.

**ii. Evening Course Programs**

90% of all adult students are enrolled in evening courses. The total number of enrollees for these courses in 1981, including those who entered directly from high school, was 28,000. This represents a decline from previous levels (33,000 in 1970). Working students represented 1-/3 of the total evening course enrollees in universities, and 3/5 of the total in junior colleges.

**iii. University Correspondence Education**

The number of students enrolled in university correspondence courses rose from 77,000 in 1970 to 90,000 in 1981. If housewives are excluded from the count, nearly all enrollees were employed. In contrast to this, the number of students enrolled in junior college correspondence courses evidenced a slight decline, from 20,000 in 1970 to 18,000 in 1981. It should also be pointed out that the number of graduates from correspondence courses in general declined by approximately 10% over this same period.

**iv. University of the Air**

The University of the Air represents a first attempt to establish, through effective use of broadcasting, a new system of education based on the ideal of life-long learning. A law has already been passed by the Diet permitting the establishment of the University of the Air Corporation with plans to establish the University itself in 1983, and to begin student enrollment in 1985. Planned initial enrollment is set at 7,000 students.

**v. University Extension Programs and University Learning Centers**

University extension programs are designed to disseminate the results of university research to rural communities and to the public at large. The universities involved have set up these programs by their own initiative; in 1980, 245 of Japan's 451 universities operated such programs, sponsoring 1,277 lectures which were attended by approximately 150,000 people. All of the numbers cited above are on the rise. In addition, the Ministry of Education, Science and Culture has, since 1976, drawn up a special budget for this program, and has established learning centers in three different universities.

**vi. Other Developments**

In addition to the above there has been the experimental establishment of "day and night" schooling systems which currently operate in three universities. These systems make no clear distinction between day and night courses, but rather are aimed at the ideal of a flexible curriculum which freely accommodates the schedules of enrolled students.

Another development worth mentioning is the establishment of the Toyota Technological Institute, a private university which gives priority to students

who have had working experience. This, along with the establishment of various graduate programs geared towards adults, and recent efforts to open up university facilities (including libraries and athletic facilities) to the general public, constitutes a general trend toward more flexibility on the part of universities vis à vis society and the working world.

As indicated above, several new experiments are currently being conducted in the field of adult learning in Japan, but the impact of adult learning on higher education as a whole remains small. Both in terms of financial responsibility and curriculum development, direct influence of the part of adult students has yet to be actualized. We must therefore look to the future for the fulfillment of adult learning goals, and it relies upon the effort of government and universities to contrive suitable means to this end.

## III. THEORETICAL CONSIDERATIONS AND SURVEYS OF ADULT LEARNING IN THE LABOR MARKET

The term "adult learning" encompasses many kinds of education which meet a variety of needs. Some turn to adult education in order to enhance income or find better jobs, while others pursue learning for its own sake, seeking cultural enrichment. These differences are reflected by the differences in the people themselves, including such factors as employment status, sex and age. In point of fact, the world of adult learning in Japan is an extremely active one, and is not restricted to university environments; indeed, one finds that the main arena for adult education today is found in non-university organizations.

It is not possible within the limits of the present paper to deal with all of the diverse forms of adult learning which may currently be found in Japan. Our focus will therefore be restricted to the people who is employed full-time, and who is enrolled in non-university adult education programs. The reason for this focus lies in the fact that without considering non-university adult learning programs, no valid estimates concerning the future expectations and feasibility of university adult learning programs can be made. However, it must be noted that non-university adult education is not restricted to formally organized classes, but also operates on an informal level, and that the actual condition of education on this level is not always clearly defined. In order to

make a proper analysis, therefore, four different analytical frameworks will be discussed, each of which provides a different perspective from which to view the present condition of adult learning.

**Framework I: Four Economic Functions of Education**

Let us begin by categorizing the economic functions of education. As previously stated, education serves many needs, but if we restrict our inquiry to those needs which are directly related to the labor market, the following four categories can be formulated.[2)]

1. **Basic Education** — education which provides fundamental work training, thereby guaranteeing that society is provided with necessary human resources.
2. **Performance** — education aimed at enhancing the economic performance of the work force.
3. **Dynamic Adaptation** — education aimed at developing flexibility in response to dynamic changes that occur within the economic structure, including changes in the structures of production and labor.
4. **Equality** — education aimed at providing equal employment opportunities for the unemployed, for low-income workers, women, the elderly, etc.

Diverse educational systems have been organized, and must continue to be organized, with the intention of effectively realizing the functions listed above. All systems to some extent serve all four functions, but emphasis is different from system to system. Thus school education is mainly concerned with basic education, while education taking place within industry places more emphasis on performance. Other systems, such as public work-training facilities, private miscellaneous schools (specialist schools) and mass communication all vary in content and therefore in functional emphasis.

If we divide diverse educational systems into the three categories of school, industry and other, and further classify these three in terms of the four functions listed above, a chart such as the following may be constructed (Figure 1). This chart does not necessarily give an accurate picture of the current state of education, but is rather intended to demonstrate how the four economic functions may be used and what they mean. If the effects of these functions can be measured, it then becomes possible to characterize the education that takes place within each social sector.

The economic impact of education taking place in schools is actually less

Fig. 1

| Function \ Institution | School | Industry | Others |
|---|---|---|---|
| Basic Education | ++ | + | + |
| Performance | + | ++ | + |
| Dynamic Adaptation | – | + | + |
| Equality | – | – | + |

Note: ++ strong relationship
+ a little relationship
– weak or no relationship

than what the connections indicated by the chart imply, while that of education in the industrial sector can safely be assumed to be more.

In point of fact, the industrial sector in Japan has very few expectations with regard to knowledge which is acquired in school. When hiring newly-graduated students, most companies look at such personality traits as vitality and cooperativeness, and assume that they themselves must provide the necessary education relating directly to the work in question. Viewed from this commercial standpoint, school does not fulfill any of the four economic functions so much as it acts as a screening process for human resources (an activity which might be termed a fifth function).

What, then, is the state of adult education in the industrial sector? Let us look at the results of a small number of surveys which address this problem. These surveys are most often directed toward specific companies or individuals, and ask questions concerning program implementation, such as: "Is there a formal educational program operated by your company?" or "Have you ever been enrolled in a company educational program? If so, what was the subject matter?"

The results of such surveys indicate that a wide veriety of educational programs are available within companies, serving everyone from new employees to management, and that these programs are attended by large numbers of people. Figures show that approximately 80% of all companies operate some kind of educational program, and that between 20 and 30 percent of the adults surveyed participate in one such training session a year. Results from some of

these surveys are given in the appendix II,[3] but it is enough at this point to observe the following four salient characteristics.

(a) The larger the company, the more active the education-training programs become, and the more diverse and rich the program content. In small companies education programs remain undeveloped, evidencing a large gap in terms of educational opportunity. According to surveys on educational expenditure, companies employing 5,000 people or more spend approximately five times more per person than small enterprises employing less than 100 people.

(b) A significant differential may be found in results of individual surveys, which indicate that employees who possess higher-level educations have a higher rate of participation in adult education programs.

(c) Surveys dealing with educational needs indicate that there is a wide gap between what is wanted by the students and what is actually taught. This gap, and the educational management that produces it, form one basis for the argument that provision for life-long learning is necessary.

(d) Despite the above, however, the number of workers who feel that they would like to make use of university facilities in order to achieve their educational goals is small. The overwhelming majority would prefer to get their training within the company, or if that is not possible, then in private specialist schools or public technical and vocational training centers. In other words, going back to our original categories, they seek their education not in school, but in the sectors labelled "industry" and "other" (See Table 4).

**Framework II: Post-school Investments Model**

One approach to measuring the amount of investment made by the industrial sector in education and training is the indirect method known as human capital theory. This theory postulates that investment costs and benefits are reflected in the earnings of the workers.

Analyzing the data on Japan's age-earning profiles on the basis of J. Mincer's post-school investments model,[4] the four following characteristics come to light.[5]

(a) The rate of economic return to education has declined with the quantitative expansion of higher education, and is currently holding at about 6%.

(b) Although the rate of return to education is low, wages rise with age, so that the slope of age-earning profile is very large in comparison with countries like

the United States. This can be interpreted to mean that the investment made in training is large.

(c) The number of years spent within the same company has more influence on earnings than the years of experience gained outside the company. In other words, it is difficult to accumulate training investment when there is a large amount of inter-company movement among employees.

(d) The post-school investments model hypothesis is rather daring in conception, but the results obtained by this analytical method reflect very well the special characteristics of the employment system in Japan. The fact that the industrial sector does not place a high value on school education, and the fact that young employees who enter a company with relatively low wages are trained within the company, are two points that also are revealed in income data.

**Framework III: Integration of Organization**

Education is more than a mere collection of economic functions, and the education that takes place within the industrial sector is not an exception to this. In order to include the non-economic functions of education in our analysis, the following two classification axes must be introduced.

1. For whose benefit is the education intended? By means of this axis we can differentiate between education which benefits the individual as opposed to education which benefits the company.
2. What is the education for? By means of this axis we can differentiate between "instrumental" education and "expressive" education.

Using these two axes, the following chart can be devised, which divides the function of education within industry into four categories (Figure 2). Instrumental education which benefits the company is categorized as "specific training," which is useful only to the company. Individual instrumental education then means "general training", which can be used by the individual in contexts as well as the specific company within which the training occurs. Individual expressive education is education pursued for the pleasure of it, and may therefore be classified as a leisure activity. The last category, expressive education which benefits the company, is neither a means of achieving specific goals, nor a means of self-actualization. Rather, it serves the function of instilling common values and group feeling in employees, which in turn enhances the organizational

Fig. 2

| For what / For whom | Instrumental | Expressive |
|---|---|---|
| Company | Specific Training | Common Value Commitment, Solidarity |
| Individual | General Training | Self-actualization, Leisure |

solidarity of the company.

Looking at the present state of adult learning in the industrial sector with this framework in mind, it soon becomes evident that all four categories come into play. Economic rationale may argue that no company provides educational programs solely for the sake of entertaining its employees, and this indeed may be the case. However, these four categories are not to be thought of as independent and mutually exclusive entities; rather, they are inter-penetrative, and the importance and strength of the education they represent may be found at the point where they interact to produce an overall structure.

Looking at the results of surveys pertaining to educational goals, we find that management is not just interested in enhancing employees' abilities or knowledge. Another important consideration is the strengthening of moral values, and the improvement of human relations.

Further, we see in Japan a tendency on the part of companies to view education which is clearly categorized as general training to be the responsibility of the company rather than the individual. Employees who are sent to business school, either in Japan or overseas, usually have their expenses paid by the company. This phenomenon may also be said to have its origins in a unified conception of the Figure 2 categories.

From the managerial standpoint, it is considered natural and proper to work at harmonizing individual and company goals, and to maintain a balance between individual and company values. This relates directly to the often cited fact that collectivism is stronger than individualism in Japan's industrial

sector. This yet again points up the fact that the four categories are indivisible. To put it into other words, this framework constitutes a normative model which views education as a means of achieving unity within the company organization. One reason why adult learning programs are so active within Japan's industrial sector may be found in the fact that this overall function of education has penetrated deeply into the heart of business organization.

**Framework IV: Economics of Recurrent Education**

The last framework that needs discussion is the possibility for recurrent education in Japan. Although we have seen that adult education is rich in content and scope within the industrial sector, there are still some doubts with regard to the capacity of this education to adapt to the dynamic changes which occur in the economic structure. In other words, we wish to determine whether or not these educational programs adequately fulfill the "Dynamic Adaptation" function discussed in connection with Figure 1.

"Recurrent education" is a label which refers to an educational system which fulfills the dynamic function. Before we insist upon the necessity of such a system, however, we must consider what it represents in terms of cost and benefit. Viewed from this standpoint, it becomes clear that recurrent education is not necessarily economically efficient. This is because as an employee grows older, opportunity costs (foregone earnings) for education increase, while the period of time before retirement, which represents the time within which the benefits of the education will be enjoyed, decreases. It follows, therefore, that unless the recurrent education results in a dramatic rise in income, it has no economic merit for the individual.

In Japan, graduate programs have been newly established in a number of universities, including the Toyota Technical Institute, Tsukuba University, Keio University and others, which represent a system of recurrent education, with programs lasting two years or more. However, the majority of enrollee's in these programs are sent by their companies, who generally guarantee the enrollee's salary, and pay for the cost of the program. Upon completion of the program, there is no guarantee that graduates will receive higher salaries.

It is reasonable to assume that whenever recurrent education is undertaken it is done either because costs have for some reason been reduced, or because there is some particular and outstanding benefit to be derived. Viewed from

are not only aimed at enhancing economic performance, but extend to such concerns as adaptation to dynamic changes in Japan's economic structure. Not only this, but also these programs are viewed as a means of strengthening the feeling of solidarity within the company organization.

However, it must not be concluded from the above that university education is not functioning efficiently. We must recognize the importance of the role universities play in providing students with basic kowledge, and instilling in them a healthy ability to work. This basic role played by universities guarantees a set standard of quality in new employees, and companies do not expect more in terms of specialized education.

It follows from this that the general lack of economic effect evidenced by universities should not be considered a failure on the part of the schools themselves. Indeed, it is more accurate to say that the present system of education-training represents an efficient division of educational responsibility between university and industry.

**(ii) Policy Implications**

Despite the above conclusion, it seems unlikely that the present system of education-training will continue to function without change in the future. At the present time universities are experiencing no difficulties in maintaining enrollment levels; this is because, although the admission ratio has levelled off, the 18 year-old population continues to rise, and will do so for the next ten years. However, when the 18 year-old population begins to decline ten years later from now, the private universities (which account for 80% of total student enrollment) will be forced to stimulate new demand for education among other age groups. At that time, universities are unlikely to restrict themselves to the educational functions they served in the past, but will make positive efforts to meet the educational needs of society as a whole.

Turning to the industrial sector, it is clear that certain failings exist within the education-training system which has until now been in operation. As has already been pointed out, there is a large gap in educational opportunities between large and small companies, and between those who have a high level of education and those who do not. In addition, though it may be that those who are employed in large companies and are therefore assured life-long employment are able to adapt to changes in the economic structure, it must also be

the simple judgmental standard of cost versus benefit, cases where the possibility of actualizing recurrent education in Japan is relatively high may be broken down as follows.

(a) Cases when financial assistance is provided to offset costs, including the cost represented by foregone earnings. The system of company support for dispatching employees to schools both in Japan and overseas is one example of this.

(b) Cases in unemployment (cases when foregone earning equal zero). However, this function of recurrent education is better classified as the equality function rather than the dynamic adaptation function.

(c) Cases when recurrent education is part-time in nature. Both night courses and the University of the Air come under this category. However, since attending classes of this nature sacrifices the employee's leisure time, it cannot be said to be free of opportunity cost.

(d) Cases when the benefit to be derived from recurrent education is extremely great. There are very few instances of this in Japan. However, there are cases when economic benefit is sacrificed for the sale of other values. Instances, for example, of people quitting their jobs altogether and returning to college in order to receive professional training in law or academic disciplines are not uncommon. One important reason why economic benefits are limited is that companies tend to train personnel who already belong to the organization rather than recruit new employees.

## IV. CONCLUDING REMARKS

### (i) Efficient Division of Training Responsibility

Adult learning in universities is an important policy topic within the field of higher education, stemming from the fact that interaction between universities and society, especially between universities and industry is limited. In order to make clear the reasons for this, the state of adult education in the industrial sector was discussed from four different points of view. What emerged from that discussion was the fact that the industrial sector places little value on university education, and that programs designed to train human resources within the company are extremely active. These intra-company programs

said that such a system in times of economic decline and rising mean population age can only mean higher labor costs. The life-long employment system and seniority system which have characterized Japan's industry in the past are showing signs of strain. Given these conditions, it seems probable that companies will have to begin the process of externalizing educational programs which until now have been an intrinsic part of internal company organization. It also seems likely that educationally disadvantaged groups, including low-income workers, women and the elderly, will in the future be even more alienated from educational opportunity.

At the present time, the education-training system which is supposed to provide equal employment opportunities is wholly inadequate. This economic function of education has for the most part been taken over by training institutions other than universities and industry. In the future, needs for equal opportunity is lifely to increase in terms of amount, and it seems likely that this needs will not be met by the industrial sector.

Taking the present situation into consideration, the following three points seem likely to become important issues in Japanese society with regard to life-long learning policies.

The first issue is the establishment of an educational system which actively places emphasis on equal opportunity. In order for this to be accomplished, it will probably be necessary to make investments designed to cover foregone earnings (opportunity costs) on an equal basis, even if this means sacrificing efficiency.

Second, with consideration given to the life-long educational needs of college graduates, it is necessary to establish a specialized educational system at the graduate level which accommodates part-time students. Present graduate programs for adults are full-time in nature, and are almost exclusively utilized by employees of large companies. It is necessary to develop graduate education which is part-time in conception, thus representing reduced opportunity costs.

Third, in order for universities to stimulate new educational demand, they must develop curricula which are attractive to adult students, and modify teaching methods. The present educational offerings found in universities cannot be said to be economically advantageous to adult students. In the past, universities have been slow to develop practical education, but this will have to change, and new education-training programs with a high degree of practical

applicability will have to be devised.

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## Appendix I. Adult Learning in Higher Education

## (Source of Data: Ministry of Education, Science and Culture)

**Table 1: Adult Enrollment in Universities (1981)**

| | total number of universities | universities accepting adult students (numbers in parentheses indicate special admissions) | number of new adult enrollees (numbers in parentheses indicate special admissions) |
|---|---|---|---|
| National | 93 | 44 | 266 |
| Municipal | 34 | 11 | 30 |
| Private | 324 | 106 (17) | 3,653 (647) |
| TOTAL | 451 | 161 (17) | 3,949 (647) |

Note: These numbers include students enrolled in night courses. So-called *rōnin*, people who failed to enter college the first year after high school and are studying in order to take college entrance exams again, are not included.

**Table 2: Night Course Enrollment (1981)**

| | | universities | | junior colleges | | |
|---|---|---|---|---|---|---|
| | number of schools | number of new enrollees | total enrollment | number of schools | number of new enrollees | total enrollment |
| National | 12 | 1,660 | 8,396 | 20 (20) | 2,932 | 9,126 |
| Municipal | 5 | 662 | 3,462 | 10 ( 6) | 1,017 | 3,183 |
| Private | 48 | 25,982 | 106,630 | 80 (17) | 6,710 | 15,102 |
| TOTAL | 65 | 28,304 | 118,483 | 110 (43) | 10,659 | 27,411 |

Notes: 1. Numbers in parentheses indicate schools which only operate at night; these schools are included in the total count.
2. Enrollment numbers are for students in university departments, or regular course in junior colleges.
3. Number of schools and number of students in the national university category include the engineering department of Chiba University, the economics department of Fukushima University, and the law department of Ehime University, which have course primarily at night.

**Table 3: Percentage of Total Night Course Enrollment According to School Type (1981)**

| | universities | junior colleges |
|---|---|---|
| National | 1.9% | 57.8% |
| Municipal | 6.1 | 11.5 |
| Private | 8.2 | 4.1 |
| TOTAL | 6.8 | 6.0 |

**Table 4: Enrollment in Universities and Colleges Which have Correspondence Education Programs**

| Time Period | | number of schools | prescribed new enrollment | actual new enrollment | total enrollment |
|---|---|---|---|---|---|
| Universities | 1965 | 9 | 38,500 | 10,094 | 59,074 |
| | 1970 | 11 | 44,200 | 9,401 | 77,391 |
| | 1975 | 11 | 44,200 | 10,429 | 88,659 |
| | 1980 | 12 | 49,600 | 7,691 | 90,228 |
| | 1981 | 12 | 49,900 | 6,940 | 89,894 |
| Junior Colleges | 1965 | 5 | 6,100 | 2,321 | 10,763 |
| | 1970 | 7 | 7,400 | 3,713 | 20,011 |
| | 1975 | 7 | 8,500 | 4,594 | 17,652 |
| | 1980 | 9 | 9,400 | 3,928 | 19,645 |
| | 1981 | 9 | 9,400 | 5,087 | 18,396 |
| TOTAL | 1965 | 14 | 44,600 | 12,415 | 69,837 |
| | 1970 | 18 | 51,600 | 13,114 | 97,402 |
| | 1975 | 18 | 52,700 | 15,023 | 106,311 |
| | 1980 | 21 | 59,000 | 11,619 | 109,873 |
| | 1981 | 21 | 61,700 | 12,027 | 108,290 |

Notes: 1. "New enrollments" are those entering college between April 1 and May 1 of each year.
2. "Total enrollment" indicates the total number of students as of May 1 of eacy year.
3. "New enrollment" and "total enrollment" indicate students in formal courses of study.

## Appendix II. Adult Learning within Industry

### (Source of Data: Ministry of Labor)

**Table 1. Presence or Absence of Education-training Programs by Scale of Company**

| | Number of Companies Surveyed | Educational Program Implemented | | | | | | Not Implemented |
|---|---|---|---|---|---|---|---|---|
| | | sub-total | new employees | employees hired in mid-career | middle-range employees | foremen, supervisors | management | |
| TOTAL | 1,929 | 80.4% | 75.5% | 52.7% | 64.9% | 50.6% | 55.7% | 19.6% |
| people 30– 99 | 421 | 48.7 | 41.6 | 27.6 | 36.6 | 19.7 | 22.8 | 51.3 |
| 100– 299 | 399 | 74.9 | 68.2 | 44.1 | 53.9 | 39.3 | 42.4 | 25.1 |
| 300– 499 | 220 | 87.7 | 81.8 | 50.5 | 65.0 | 53.6 | 54.5 | 12.3 |
| 500– 999 | 264 | 91.3 | 87.5 | 62.5 | 74.2 | 59.1 | 67.0 | 8.7 |
| 1,000–4,999 | 394 | 96.7 | 95.7 | 71.1 | 84.3 | 74.1 | 78.9 | 3.3 |
| more than 5,000 people | 231 | 100.0 | 95.7 | 73.2 | 90.9 | 73.6 | 87.0 | 0.0 |

**Table 2: Workers Enrolled in Educational Programs by Scale**

(percentage)

| | | Percentage of workers enrolled in education-training programs | during working hours | during non-working hours |
|---|---|---|---|---|
| TOTAL | | 31.7 (100.0) | (91.6) | ( 8.4) |
| Scale of company | more than 1,000 people | 38.4 (100.0) | (93.8) | ( 6.2) |
| | 500–999 | 25.0 (100.0) | (87.1) | (12.9) |
| | 300–499 | 24.8 (100.0) | (88.7) | (11.3) |
| | 100–299 | 17.8 (100.0) | (81.3) | (18.7) |
| | 30– 99 | 23.9 (100.0) | (95.4) | ( 4.6) |

**Table 3: Workers' Desire for Education-training**

(Percentage)

| | | workers surveyed | percentage of workers wishing to receive education | always wish to | sometimes wish to | percentage of workers not wishing to receive education |
|---|---|---|---|---|---|---|
| TOTAL | | 100.0 | 86.4 | 40.9 | 45.5 | 13.6 |
| Educational background | junior high school graduate | 100.0 | 75.8 | 35.9 | 39.9 | 24.2 |
| | high school graduate | 100.0 | 85.7 | 37.4 | 48.3 | 14.3 |
| | junior college graduate | 100.0 | 90.2 | 39.0 | 51.2 | 9.8 |
| | college and university graduate | 100.0 | 92.2 | 50.8 | 41.4 | 7.8 |

## Table 4: Educational Ideals of Workers According to Groups of Occupation

(Percentage)

| | | Total | Groups of Occupation | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | professional | manager | clerical | salesmen | mining, quarrying, manufacturing | transportation communication | craftsmen | service worker | other |
| TOTAL | | 100.0 | 100.0 | 100.0 | 100.0 | 100.0 | 100.0 | 100.0 | 100.0 | 100.0 | 100.0 |
| Educational Ideals (Facilities and Methods) | in-company training | 32.2 | 23.5 | 27.3 | 30.1 | 37.0 | 48.3 | 48.7 | 38.5 | 41.5 | 49.3 |
| | public employment training schools | 11.4 | 9.6 | 7.0 | 8.9 | 10.1 | 25.0 | 38.5 | 21.3 | 11.0 | 12.5 |
| | universities, junior college | 4.7 | 10.4 | 4.9 | 4.8 | 2.2 | 1.7 | 1.0 | 1.7 | — | 2.1 |
| | exchange student | 6.7 | 10.7 | 8.3 | 7.0 | 9.1 | — | 1.0 | 1.1 | 7.3 | 3.4 |
| | misc. schools specialist schools | 15.7 | 13.7 | 9.1 | 21.6 | 12.6 | 11.6 | 6.2 | 13.4 | 17.1 | 10.4 |
| | other private training facilities | 19.9 | 23.8 | 33.7 | 17.5 | 16.4 | 8.3 | 18.5 | 14.4 | 13.4 | 18.8 |
| | radio television course correspondence courses | 4.9 | 2.6 | 5.5 | 5.9 | 6.3 | 1.7 | 2.1 | 4.9 | 7.3 | 2.1 |
| | individual or groups study | 3.2 | 3.0 | 2.8 | 3.5 | 5.8 | 1.7 | 1.0 | 3.2 | 1.2 | 1.4 |
| | other | 1.3 | 2.7 | 1.4 | 0.7 | 0.5 | 1.7 | 1.0 | 1.5 | 1.2 | — |

# PART V

# HIGHER EDUCATION IN THE AGE OF FINANCIAL DIFFICULTIES

# JAPANESE HIGHER EDUCATION IN AN AGE OF FINANCIAL DIFFICULTIES

MORIKAZU USHIOGI*

## I. Introduction

This paper is concerned with Japanese higher education in an age of financial difficulty. Here I would like to define the meaning of "financial" in a little broader sense. Put in another way, I intend to discuss Japanese higher education in an age of "low economic growth".

The age of continuous economic growth has passed. In the 1960s and early 70s, the Japanese economy experienced a period of unprecedented growth. The national income grew annually at a rate of higher than 10%. However, since 1974, it has slowed to a growth rate of 5%, and some years recorded no growth. The economic recession, and inflation accompanying it, has brought about various impacts upon Japanese society, politics and economy. Higher education is no exception. What kind of impacts are now appearing?

The economic recession since the mid-1970s has impacted all industrialized countries. But I do not believe that it's influence upon higher education is the same from country to country. Japanese higher education appears to be headed in a different direction than that of other countries. Where is the difference, how and why is it so? These are the questions which I intend to pose here.

First, for the interest of readers from foreign countries, I will discuss some features of the present Japanese system of higher education.

(1) Unlike most advanced countries, the population of 18 year-olds in Japan is increasing and a sharp increase in the next 10 years is assured. Specifically, the size of this age group will be about 1.6 million in 1992, an increase of 30% in 10 years. While most advanced countries are now experiencing a sharp drop in or a lower rate of enrollment, Japanese higher education continues to expand.

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(2) It is clear that the discretionary income of individual families hit a plateau during the past few years. However, the motivation to obtain a higher education appears never to have fallen. Recently, the advancement ratio to college and university has leveled off and even declined slightly since 1975. However, it does not seem to be caused by a lessening of motivation. It is more likely that it is merely the outcome of the constrictive policy of higher education which was introduced by the central government in 1975.

(3) Unlike most other advanced countries, the labour market for college graduated has not declined. Industry is still eager to hire a lot of new college graduates. The proportion of college graduates among the total of new job seekers who come out from every level of the school system amounted to 40% in 1982, as compared with 56% of high school graduates. It is almost double the number compared with 20.6% in 1970. However, industry has flexibly adjusted to the new labour force supply and has absorbed successfully the annual increase in college graduates. The simplest evidence for this success is an exceptionally low unemployment ratio of youth as compared with other industrialized countries. OECD data shows the unemployment ratio of youth between 15 and 24 years old in 1977 as being 23.8 for Italy, 14.5% for Canada, 12.9% for the United States, 14.1% for the U.K. and only 3.2% for Japan

(4) Finally, we have no report of the closing of institutions of higher education. Annually, the U.S. statistics report the number of institutions of higher education which were closed. But the statistics of Japanese Ministry of Education has no item corresponding to it. It is not a statistical default, there is simply no need to report it. But is Japanese higher education really in such good condition? I think not. It is my belief that an age of uncertainty for Japanese higher education has begun. What are the causes for this uncertainty?

## II. Behavior of the central government

To approach the present and near-future situation of Japanese higher education, I would like to suggest three kinds of "actors"; (1) the central government; (2) the "consumers" of higher education; and (3) college itself. I wish to focus on the relationship between these actors.

First of all, the behavior of the central government should be analysed. The present higher education policy of the central government is based upon the planning which was formulated by the Advisory Committee for Higher Educa-

tion and the Commission for the Establishment of College and University. The First Plan was set up by the former in 1976 for the period from 1976 to 1980, and the Second plan by the latter for the period from 1981 to 1986. The targets of the First Plan were as follows.

(1) The moderate expansion of the size of the higher education. This Plan aimed to increase the admission capacity of Universities and junior colleges from 608,000 in 1975 to 640,000 in 1980. This aimed to raise the enrollment ratio to the population of 18 year-olds from 38.8% in 1975 to 40.3% in 1980.

(2) To restrict the growth of the private sector and to expand the public sector. This Plan aimed to increase the share of the public sector from 17.5% in 1975 up to 18.5% in 1980. More concretely, it planned to increase in 5 years the capacity of admission by 10,000 in the national, by 1,500 in the municipal and by 20,000 in the private college and university. This would result in a total increase of 31,500 for all higher education.

(3) To restrict the expansion and new establishment of the higher education institutions in urban areas and instead to expand in other areas. The goal was to change the geographical distribution of higher education institutions and to decentralize the opportunities for higher education.

(4) To acknowledge officially the status of "post-secondary education of non-university type". By the law of 1976, institutions of the short cycle (1-2 years) obtained the status of higher education. This law aimed to make the system of post-secondary education, "more flexible and diversified". This non-university type of post-secondary education was expected to provide high-school graduates a fourth alternative along with the traditional university, the junior college and a job. Moreover, it was expected to compete with the traditional higher education through providing more flexible and practical types of training. The intention of the policy-makers seemed to stimulate the traditional anti-reformers in higher education by putting them into competition with short cycle post-secondary education.

The period covered by this Plan has already passed, and we are now able to evaluate the outcomes of it. Although this plan is generally believed to have "succeeded", my impression is somewhat different.

Table 1 shows a balance sheet between the target of the Plan and what actually happened. First of all, the central government has succeeded in expanding the capacity of the national universities as planned. However, the

target capacity for the private sector was not attained. Rather the number of new entrants dropped by 39,000 in the absolute number during five years of this Plan. This decline did not result from the closing of any private institution, nor the reduction of the capacity of individual private institutions. But it did indicate a changed admission policy of individual private institutions.

For many years, the private institutions tended to accept more students than the officially authorized number. For example, in 1975 the private sector accepted 1.78 times more students than the officially authorized capacity. However, the central government, and it's related organization, which has been authorized to distribute the subsidy to the private institutions of higher education since 1976, has tried to guide them to observe the officially authorized capacity, for the purpose of improving teaching conditions. This guidance or control has affected the admission policy of individual institutions. Consequently, "the over-admission rate" of private institutions has been improved to 1.43 in 1979, as compared with 1.79 in 1975. Originally, the lan expected to keep this "over-admission rate" to less than 1.5 until 1980. Our statistics show that this part of the lan was attained, but at the cost of the quantitative expansion of the private sector. I believe this reduction of the newly enrolled at private sector was a result of an "overreaction" of individual private institutions. The private institutions changed their admission policies from obtaining more tuition fee through accepting more students than the officially announced quota to obtaining more subsidies from the central government by showing their efforts to improve the teaching conditions. I believe the central government never expected that it could succeed in getting the over-admission rate so low.

**Table 1: Outcome of the First Plan for Higher Education (from 1976 to 1980 — Number of Admission to the higher education (4 year university and 2 year junior college together).**

| | Total | national | municipal | private |
|---|---|---|---|---|
| Actual in 1975 | 608 | 87 | 20 | 501 |
| Target in 1980 | 640 | 97 | 22 | 521 |
| Actual in 1980 | 599 | 97 | 20 | 482 |
| Difference Between Target and Actual | −41 | ±0 | −2 | −39 |

(in Thousands)

The reduced admission to the private sector should be understood as an over-reaction of private institutions. In short, the First Plan was successful in the expansion of the public sector, but not for the private sector.

The influence of the newly emerged post-secondary education is also hard to identify. It is true that the share of short-cycle post-secondary education has been increasing annually, but it seems too early to conclude that it is posing a threat to the traditional type of higher education.

The Second Plan, from 1981 to 1986, has various aspects to it. First of all, the background of it is different from that of the First Plan. While the latter was a plan for the period during which the population of the 18 year-olds was not expected to expand, the Second Plan is for the expanding population of this age group. It will increase 1.16 times in the 6 years of the Second Plan. Therefore, if it aims to maintain the enrollment ratio, large scale expansion is required. Considering this aspect, the Second Plan proposes to expand the short-cycle post-secondary education of a non university type and Open University. While Open University has not started yet because of the retrenchment of recent years, the short-cycle post-secondary education has steadily expanded and now almost 22 percent of high school graduates attend institutions of this type, whereas 30.9 percent of high school graduated attend universities and junior colleges.

As for university and junior colleges, the Second Plan follows basically the same principle as the first. It aims at an annual increase of 2,300 in the public sector and 400 in the private. If it is to be attained, the enrollment ratio in 1986 will be 37%. Because this Plan is now proceeding, it is too early for the evaluation, but it seems to be practically bankrupt, at least as far as the public sector is concerned. For the fiscal year of 1981, the first year of the Second Plan, the Ministry of Education suceeded in increasing the admission capacity of national universities by 1.130. But for the second year of the Plan, the increase was only 590. This is clearly the result of the retrenchment policy of recent years. Judging from the experience of the last two years, the future of the Second Plan seems to be uncertain. In short, the Second Plan now stands in a difficult position. With sharp increase in the number of 18 year-olds in the near future, the increasingly difficult entrance examinations, the retrenchment policy of the central government for getting out of the red financially, everything seems to predict a difficult future for the Plan.

**III. Behavier of Consumers**

The second actor I will discuss is "the consumer" of higher education. As already mentioned, the number of the potential consumers is going to increase in an unprecedented fashion. It means that managers of institutions of higher education have a good market for the future if other conditions remain constant. What is most crucial the future if other conditions remain constant. What is most crucial is the motivation of the potential consumers toward the higher eudation. Since 1976, the short-cycle post-secondary education has been getting a significant share of students along with university and junior college. The popularity of the short-cycle post-secondary education is growing. However, it is still difficult to identify any evidence that the consumers have shifted their preference from university and junior college to the short-cycle education. It may be said that all types of higher education coexist. However, competition between the traditional higher education and the short-cycle non-university type education may be a future problem. But what about the problem of consumers motivation for college and university? Is it dereasing? If so, Why and how?

From the view-point of the human capital theory, the rate of return of the investment on the higher education had clearly decreased. For instance, now 4-year college graduates enjoy a starting salary of only 1.2 times more than that of high school graduates as compared with 1.4 times more in 1965. This indicates a sharp drop of income advantage of college graduates during the last 15 years. Thus, the life time income of college graduates has come closer to that of high school graduates. All of these data indicate that the economic advantage of higher education has sharply decreased. On the other hand, the cost of higher education has been rising annually. The tuition fee of the national, as well as private, institutions of higher education, has been rising more rapidly than the general consumer price. The tuition fee of the national university was 15 times higher in 1980 than in 1970. The average of private university tuition increased 4.15 times during the same period.

The percent of the tuition fee to the average income of the household head, whose age is between 45 and 54 years old, is now almost 3.5% for national universities and 7.0% for private universities. If a student lives on board and attends a private university, his parents have to share about 27% of the annual income for his tuition fee and living cost. (About 36% of the total university students, live on board and at the attend a private university.) If a student

**Table 2: The Starting Salary of College and High School Graduates (only male)**

| (1) Year | (2) 4 year college graduates | (3) Highschool graduate | (4) Difference (2)/(3) |
|---|---|---|---|
| 1965 | 22,980 yen | 16,430 | 1.40 |
| 70 | 37,400 | 28,400 | 1.32 |
| 75 | 83,600 | 70,400 | 1.19 |
| 80 | 114,500 | 92,800 | 1.23 |

Source: Labor Statistics of each year

**Table 3: The difference of life-time income between 4 year college graduates and high school graduates (estimated from the income of the male worker in the manufacturing industry)**

| | 1965 | 70 | 75 | 80 |
|---|---|---|---|---|
| (1) High school graduates | 23.1 | 43.7 | 93.1 | 127.4 |
| (2) 4 year college graduates | 33.7 | 59.2 | 120.2 | 156.7 |
| (3) Difference (2)/(1) | 1.43 | 1.36 | 1.29 | 1.23 |

(1), (2) in Million yen

attends a national university and lives with the family, the proportion of the cost for higher education amounts to 12% of the annual income of household head of 45–54 years old. This is the most cost-saving means of gaining a higher education, but only about 7% of the total students of the higher education follow this practice. The Proponents of the rate of return theory would conclude from the above data that the enrollment ratio for higher education is approximating the saturation point. The recent stagnation of enrollment is good evidence for it.

However, this cost-benefit approach should be tested against another approach, that is the extent to which Japanese higher education is equally open to various social groups. The discussion of equality is confusing, mainly because of the lack of the suitable data for it. The Ministry of Education survey claims that the national universities recruit their students equally from every income group and that the private universities, which in the past have recruited disproportionally from the higher income groups, is now beginning to improve it's

recruitment in favour of the lower income groups. Yet a recent study by Jyoji Kikuchi indicates that at national universities, as well as at private ones, the enrollment ratio of upper income groups has been rising during the last 4 or 5 years at the cost of lower income groups. These two surveys are obviously contradictory. Both deserve our attention. Further, Kikuchi and Ikuo Amano conclude that lower income groups have gradually been excluded from the opportunity of a higher education. However, their studies do not take into account the academic ability of students. It is still not clear whether or not high ability students are being excluded from the higher education because of the lack of financial support of family.

## IV. Behavior of College and University

The third actor, which determines the course of the higher education system, is the university and college itself. Here there seems to be a difference between the national and private systems. The private university is basically market-oriented, while the national university seems to be driven by the academic spiral.

During the years of economic growth, nearly all departments of national unviersities made efforts to expand. In doing so, they took little account of the needs of consumers, nor of the marketability of their graduates.

Reflecting on this period, the impetus of self-expansion seems to have been stimulated by the expansion policy of faculties of technology and natural sciences in 1960s. This expansion policy was started by the central government,

**Table 4: Tuition fee of national and private university**

| | National university | Private university in average | General consumer price index |
|---|---|---|---|
| 1970 | 12,000 (100) | 85,666 (100) | 100 |
| 1972 | 36,000 (300) | 104,490 (122) | 112 |
| 1974 | 36,000 (300) | 131,792 (154) | 155 |
| 1976 | 96,000 (800) | 221,844 (259) | 190 |
| 1978 | 144,000 (1200) | 286,568 (335) | 213 |
| 1980 | 180,000 (1500) | 355,156 (415) | 238 |

Number in parenthesis indicates the ratio to 1970

**Table 5: Percent of tuition fee for the average yearly income of 45–54 years old worker.**

| | National university | Private university in average |
|---|---|---|
| 1970 | 0.7% | 5.3% |
| 1972 | 1.8 | 5.3 |
| 1974 | 1.2 | 4.4 |
| 1976 | 2.5 | 5.9 |
| 1978 | 3.2 | 6.4 |
| 1980 | 3.5 | 7.0 |

**Table 6: Composition of university students by the level of family income**

National university

| | | 1970 | 1976 | 1978 | 1980 |
|---|---|---|---|---|---|
| lowrr | I | 23.0% | 19.5 | 22.0 | 23.8% |
| | II | 20.8 | 19.4 | 19.0 | 19.9 |
| | III | 20.9 | 20.4 | 18.9 | 16.9 |
| | IV | 15.9 | 20.7 | 19.1 | 18.6 |
| upper | V | 19.4 | 20.0 | 21.0 | 20.8 |
| total | | 100.0 | 100.0 | 100.0 | 100.0 |

Private university

| | | 1970 | 1976 | 1978 | 1980 |
|---|---|---|---|---|---|
| lower | I | 8.1 | 9.5% | 11.1% | 15.6% |
| | II | 13.2 | 13.2 | 16.8 | 17.5 |
| | III | 19.1 | 20.7 | 19.9 | 16.0 |
| | IV | 20.9 | 22.6 | 20.5 | 20.3 |
| upper | V | 38.7 | 34.0 | 31.7 | 30.6 |
| total | | 100.0 | 100.0 | 100.0 | 100.0 |

I. Indicates students from the lowest 20% of income.
II. The second lowest 20%.
III. In middle 20%.
IV. The second highest 20%.
V. The highest 20%.

Source: Ministry of Education.

**Table 7: The enrollment ratio to university by the family income level.**

| | | Lowest 40% of income | Middle 40% of income | Upper 20% of income |
|---|---|---|---|---|
| National and municipal university | 1974 | 3.5% | 5.2% | 7.3% |
| | 1975 | 4.2 | 5.6 | 7.7 |
| | 1976 | 4.7 | 5.8 | 8.1 |
| | 1977 | 4.7 | 6.7 | 7.6 |
| | 1978 | 6.5 | 4.8 | 9.1 |
| | 1979 | 5.2 | 4.8 | 10.3 |
| Private university | 1974 | 9.2 | 14.6 | 29.0 |
| | 1975 | 11.5 | 18.0 | 26.7 |
| | 1976 | 13.4 | 18.3 | 28.0 |
| | 1977 | 14.7 | 18.9 | 28.6 |
| | 1978 | 15.3 | 17.8 | 30.3 |
| | 1979 | 14.8 | 17.0 | 31.0 |

Source: Jyoji Kikuchi

and resulted in endless competition for expansion among faculties. Once the expansion of faculties of technology and natural sciences had finished, other faculties, which did not have much chance of expansion, began to claim the need for expansion in order to recover "the balance" within the compus.

In some national universities, the faculties of technology and natural sciences grew dramatically in the 1960's. As a result, some national universities have transformed into "technical universities". This "over-expansion" stimulated the desire for expansion of other faculties, and they tried to legitimate their expansion as recovering the "balance", however nobody knows what the "balance" means.

Moreover, the campus power structure used "the balance policy" of this kind to dominate the compus. The leading power in the campus, the university president, has no power to check the departmental egocentricism. Considering many kinds of expansion plans submitted by various departments, the president can only arrange the rotation system out of deference to every department, and try to minimize the frustration of any one department. If he is brave enough to accept the proposal of one department and reject others, it is sure

that he will never be re-elected.

Thus, the only possible course for the national university is self-expansion, resulting in "add-on reform", no innovation, no abolition of out-of-date departments, and no budget-cut for unsuccessful faculties.

The "add-on reform" may have been practicable in the age of expansion, but not in the age of retrenchment. The national university has experienced zero growth in discretionary funds this year for the first time. Next year may see reductions.

At this moment, the reponse to this new situation is only to reduce equally the funds of every department. But this is a doubtfull policy for the long term. It seems sure that the time will come to reconsider the distribution scheme of teaching and research funds. However, it will never be done without any change of the in-campus decision making process. The autonomy and power of each department, should become the object of reexamination.

The orientation of private universities has been basically market-oriented. Until 1976 they enjoyed the advantage of the laissez-fair policy of the central government.

However, since 1976 they have been placed under the control of the central government in exchange for financial subsidies. Now they must obtain the permission of the government when they start new departments and change the admission capacity.

Private universities in the large urban areas are generally prohibited from expanding or starting new departments.

Their reaction to this restriction policy is one of ambivalence, although the subsidy is of course attractive. Still there is frustration that they can-not expand and innovate, especially since they have prospects of a good market during the next 10 years. As already mentioned, the population of 18 year-olds is to increase sharply in the large-urban area.

I doubt if it is possible for the central government to continue the present restriction policy in the urban area, particularily when taking into account the sharp increase of high school graduates in this area, and the unsuccessful expansion of the public sector.

In conclusion, there are many uncertain factors facing higher education in Japan. For the consumer of higher education, the rising cost of higher education coupled with decreasing income make it difficult to predict the future. For the

central government, it is not clear if they should move toward the expansion or the constriction of higher education. For universities and colleges, it is uncertain if they can continue to maintain the support of consumers and tax-payers.

What is certain is that the population of those waning to attend will increase sharply during the next 10 years, and that the age of economic growth has passed. If Japanese higher education wants to maintain the support of consumers and tax-payers, the usefulness of the teaching and research activities which are carried out in the higher education must be demonstrated. This task can not be fulfilled without reexamination of quality of teaching and research in higher education.

# ON THE FINANCIAL TROUBLES OF UNIVERSITIES

A. H. HALSEY*

I have written a paper but I am quite convinced that you can all read it better than I, so I will not read it to you, but instead talk about the general theme of the conference. I want to begin by saying how much I agree with almost everything that Professor Usiogi has said. If there is crisis and uncertainty in higher education now, we should also remember that there always was. It is important to recognise that the experience of most of our contemporaries is an extraordinary one – the experience of having more money this year than last year and the expectation of more money next year than this year. University teachers can typically remember nothing else, and that is why, in part, we see the present difficulties as being a new age of financial uncertainty. But consider what happened to scholarship in the history of all literate societies. For many centuries scholarship led a fugitive existence in out-of-the-way places, removed as far as possible from kings, barons, and princes, and from great merchants and experts on the affairs of this world. On the whole, the history of scholarship is the history of separation and animosity towards the realities of this world. And therefore the history of scholarship has been a history of poverty. The medieval university from which we all descend was originally an institution into which one entered only on the vow of chastity and the vow of poverty.

Let us now consider the experience of affluence among universities over the past thirty years. The common mistake was to assume a law of history which would progressively expand the universities into systems of higher education and draw more and more and more people into the world of scholarship. It was commonly believed in the 1950s that there was no end to the continuous upward trend of enrolment and increasing allocation of resources. The idea, in other words, was that a modern rich society would develop a universal demand

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for the highest form of education. Looking back over the period from the middle of the nineteenth century we saw successive stages in the universalisation of education. First primary education: second, secondary education, and now apparently, the third stage of post-primary education. My colleague and friend, Professor Martin Trow of the University of California, expressed the trend as one of stages of educational expansion from elite to mass to universal. This educational expansionism was also based on an appraisal of the changing relation between the universities and the economy. The economy of an advancing industrial society would require more and more educated people, and it would be highly productive and so give the resources necessary to educate those more and more highly educated people.

More abstractly, the theory asserted that demand for higher education was potentially infinite and would create its own supply either through governments or through the market. But in fact in the 1970s something began to go wrong. Part of the difficulty was that in some countries the demography of the post-war period began to reduce the actual numbers in the relevant age group which is roughly 18 – 21. Also, apart from a diminution in absolute numbers, the rate of transition out of secondary schools into the tertiary system halted, or in some cases actually declined. Japan is an exception, but the general rule is as I have described it.

Now that history is beginning to demonstarte the falstiy of our post-war expectations we have to ask ourselves 'How can we produce a better theory to explain both the expansion which we have already experienced, and the adversity or recession into which we are now, in general, entering?'. In order to do that, I think it is important to consider three things – the demand for education which comes from people, what has happened to the market for education, and what has been happening to the role of government. It is to these three things that we must look for an explanation of both expansion and recession.

With respect to social attitudes towards higher education, I believe that part of the explanation of the turnover from expansion to recession has to do with the folk memory of the events of 1968, 1969, and 1970. At the high tide of expansion the image of the student changed. Previously the student was rather highly evaluated by ordinary people as an earnest young man or young woman, who would contribute greatly to the future of society as a possessor of high

values and of economic productivity. And then, quite suddenly, the image of the student changed to something more like that of an illiterate lay-about who believed that revolution could be effectively conducted by persons aged 18–21. It would be easy to underestimate the importance of this general view, this change of image, when I consider the attitudes of people, particularly tax-payers, towards the education of other people's children.

Then, second, with respect to markets, we have to notice that the differential in earnings and life-earnings of those with higher education began to decline. The rate of return to the highest education began to fall in most countries in the 1970s. There are exceptions here and there, but in general that is true. Most economists would regard this decline as good evidence for a fall in demand. I would add, however, the difficulty that this can be argued in precisely the opposite way: that under certain conditions the tightening of the graduate labour market may increase competitiveness to get into the highest form of education.

Now finally, and thirdly, with regard to governments, it is in this same period that governments, under pressure to raise more and more revenue to meet increasing social and educational demands, were beset by falling rates of economic growth. And I have already alluded to the increasing reluctance of populations to vote themselves higher taxation. Higher education is simply one of the possible contenders for the spending of government money in all the countries we are talking about, and there was increasing competition with other spenders on defence, housing, health, and social security, and so on, which made it more and more difficult for the upward trend in government allocations to go on.

May I now, against the backgroud I have sketched, consider the peculiar and rather special case of Britain. The British case in the most extreme case of expansion of universities in terms of a particular idea of what a university is and should be. This idea was heavily laden with the conceptions of an earlier stage of university development at which few people were admitted. It was a very restricted system from the point of view of admission. It was restricted partly by the priestly orgins that I referred to, which implied that those who entered a university had to be totally immersed in learning. They had to sit round the table together, they had to live together, they had to live their lives as if they were in a kind of educative family separated from the rest of the world. That is

expensive.

Second, the British university traditions were then superimposed on the priestly and aristocratic conception that anyone who went to a university was a person of independent means. If in fact they were not of independent means, then the government had to make them appear to be so by giving, in almost every case, some general support – a scholarship, and maintenance and tuition – which would enable them to conduct themselves as if they were gentlemen. So with the most expensive system of residence in the western world Britain, not surprisingly, has only 7 students for every 1,000 of population in the universities, which is the lowest in Europe, which is less than half of the Japanese proportion (15 or 16), and which is about one-sixth of the United States of America proportion.

On the other hand, this extravagent system of total immersion in gentlemanliness looks better on the output than on the input side. The actual output of graduates as a proportion of the total number of students is higher in Britain than in any other country in the world. The British universities graduate 25 per cent of their students every year. The the graduate population in Britain is 1.58 per 1,000 which compares well with other European countries, and is not all that far behind the Japaeese proportion of 1.85.

From this standpoint the British system is an efficient system. But then, despite recognising its efficiency, the British government is alarmed by its cost. The alarm is understandable because the bill, including the student support bill, looks is if it will rise for ever. That is why the present government has, for the first time, imposed a quota on the number of home students allowed to enter the universities. It is fundamentally fear of the size of that student bill. And it is significant that there is a distinction now made in the British system between the home students (the U.K. students) and those who come from overseas. In the case of the home students it is a political quota, in the case of the overseas students it is a market. The Americanisation of Britain has been allowed to impose itself on overseas students.

The point is .hat we are seeing here an adaptation which once again brings up the question of how far the age of financial uncertainty can be managed politicaily, and how far it can be allowed to work itself out in the market. The development of the universities, or rather of post-secondary education, in the United States of America is a historical demonstration of the power of the

market to produce responsiveness, flexibility, large numbers, and a curriculum – a range of studies – which no British gentleman or European aristocrat would recognise as part of a university education. The great thing about the American experience, and the reason why things are not nearly so bad in the recession there as at least some, including Clark Kerr, thought that they were going to be, is because the market has taken over. But the market takes over in such a way as to shift the determination of what actually goes on in the universities away from the professorial power to student demand power.

Let me finally announce my prejudices about the future. We ought to recognise what a peculiar period the last thirty years has been, and we ought to recognise further that, without being too pessimistic, the proportion of people who really want the life of scholarship will always be rather tiny. And those who want it must not expect to be rewarded by great material privilege. Having consigned the universities in their traditional sense to a very tiny place in higher education, we are then, I think, clearer about higher education itself. We have to make a distinction between that function of higher education which is designed to produce the declining number of those who will manage high technology and industry, and the enormously increasing number of those people who will have to learn to live a civilised life. From that point I do not think it really matters very much whether the system of resource allocation for higher education is political, or through the market, or through some mixture of the two. Each country has to work that out in terms of its own culture and its own traditions. All that really matters is that we collectively recognise that the whole point of this past period of economic growth is to raise cultural levels so that we can be both rich and civilised. In other words, higher education has a challenging future in the education of consumers rather than of producers. That is the essential meaning of life-long education, *education pémanente*. After leaving school people will need a constant replenishment of their capacity to live in a society which they themselves or their fathers and grandfathers have made affluent. So there is plenty of educative work to do. There may be a small place for it in universities as we have known them, but there is an unending job for those who are concerned about universalising higher education.

# FINANCING PROBLEMS FOR HIGHER EDUCATION IN KOREA

## – Issues and Prospect –

JEUNG RHEE*

The problem of coping with financial difficulties seem to be universal in most institutions of higher education. Higher education in Korea too is faced with such difficulties that seem to reflect its unique political, economic and social environments. Some of these problems are reviewed here with a long-term development projection in mind.

### I. Quantitative Expansion and the Related Financial Syndrome

In dealing with the problem of expansion of higher education, no country seems to be free from financial preoccupations, each country having to go through its own unique difficulties. Korea too has her own particular problems, arising from the necessity of launching economic and social development at the time when the burden of national defense, caused by the strain of division of the country between north and south, remains heavy. Higher education in Korea, consequently, has been subjected to many changes and reforms following the necessities of adjusting itself to rapidly changing social and economic conditions. In this continuing process of reform, problems concerning financing have always been raised as a topic issue, and higher education came to suffer from certain self-created difficulties.

One of the most conspicuous syndromes of higher education finance in Korea is caused by the rapid quantitative expansion. The quantitative expansion within the past 37 years since 1945 is truely impressive. As of April, 1982, almost 800,000 students are enrolled in 236 institutions of higher education with the officially registered professional teaching staff of 21,322. Compared

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with the situation that prevailed in 1945, the number of institutions has increased by about five times, the number of students by about 66 times, and that of teaching staff by about 21 times. If teachers' colleges and other technical colleges are included in this, the number of institutions has increased by about 13 times, the students by 100 times and teaching staff by about 28 times.

These quantitative increases could be considered, at least superficially, as an illustration of the huge leap that higher education has made in Korea within the last few decades. However, these quantitative increases hold other uniquely Korean aspects, some of which can be cited as follows:

Firstly, the expansion started around the capital area of Seoul. For instance, about 67% of the registered students of colleges and universities are concentrated in and around Seoul. Though new policies of giving financial support to regional colleges have been introduced since, the regional imbalance in the distribution of students and teaching staff still remains one of the major policy concerns of the Government.

Secondly, the relative importance of private institutions is considerably high in Korea. Private institutions represent 72% of the total number of institutions of higher learning, 75% of the total registered students, and 68% of the total number of teaching staff. Considering the still weak financial structure of private institutions, the extremely high ratio of private institutions against public institutions has become a matter of concern.

As for the number of students per teaching staff, the ratio which stood at 1:10 in 1945 has become 1:33 in 1982, revealing a serious shortage of teaching staff. This imbalance in the high percentage share of private institutions and the widening gap between the number of students and that of teaching staff are closely associated with the financial problems both private and public institutions have been faced with.

The process of reform in higher education in Korea could be reviewed, from a financial point of view, in three stages:

i) the stage of quantitative expansion (1945 – 60)
ii) the stage of improving the overall educational conditions (equipment and facilities) (1961 – 70)
iii) the stage of planned reform (1971 – )

The first stage could be termed as the stage of growth when rapidly rising demand for higher education led to unregulated expansion. In the second

stage, the direction shifted from quantitative to qualitative education and it could be termed the stage of both control and assistance. In the third stage, a systematic reform has been pursued, corresponding with the national plan for economic development. For instance, the pilot institutes which started in 1973 form a central feature of the model operation for reform of higher education.

Conditions for financial support during these three period of expansion and development of higher education were generally far from adequate. During the period from 1945 to 1970, compulsory education, the expansion of the financing scale and the securing of financial resources necessary for realization of the policy objectives of higher education, as well as consideration for reduction of the burdens on parents, have been issues of major concern. Since 1971, the policy guidelines have been shifted to the widening of middle and high school education and to the stable management of private educational foundations. During this period, the basic policy guideline of the financing of higher education lay on the principle of sharing the burden by the beneficiaries – the students.

Reflecting these changes in the policy guidelines, the composition of the budget allocation for education since 1970 shows that the allocation for elementary education decreased while that of middle and high school increased. In 1979, the percentage share of elementary education stood at 55%, that of middle school 24% and that of higher education at 10.7%. It reveals that the percentage share of higher education is lower than that of most countries in the world.

In the U.S.A., for instance, the percentage share of higher education in the overall expenditures for education during the same period is 35% while it stands at 18.4% in Japan. This is 24% and 8% higher than that of Korea respectively.

In principle, financing for education could be taken as a clear outward expression of the basic philosophy and policy will of a state or a society; then its size and the details of expenditure, other things being equal, could in the end be judged as the determining factor of the quality of education. In the case of Korea, the process of establishing financing policies for higher education and its forms of management has not yet reached the level of sophistication because of its smallness and inadequacy. In spite of the will for reform, the structure of finance is still weak and short-comings in management are occa-

sionally found.

There are many other financial problems that higher education in Korea faces. These problems, which in a sense can be called chronic, can, however, be solved through cooperative efforts of the Government, educational institutions themselves and other social leaders.

## II. Some Characteristics of Financing Problems Concerning Higher Education in Korea.

### A. Inadequacy in Overall Investment for Higher Education

It is true that government investments in education increased at a remarkable rate in the 1970's. The scale of G.N.P. and General Budget of the Government (excluding Special Account) during the past 10 years increased by about 1,300%, whereas the scale of investment in education during the same period increased by about 1,900%; and the percentage of budget for education to the General Budget of the Government has been maintained at the level of 18–19% since 1975.

**Table 1. Changes in the Scale of Budget for Education**

| | 1970 | 1975 | 1980 | 1981 | 1982 |
|---|---|---|---|---|---|
| Government Budget (A) | 446.3 | 1,587.6 | 5,804.1 | 7,851.1 | 9,578.1 |
| Budget for Education (B) | 78.4 | 227.9 | 1,099.1 | 1,464.6 | 1,989.3 |
| Budget for Higher Education (C) | 4.4 | 13.4 | 120.0 | 149.1 | 220.8 |
| | | | Unit: Billion Won | | |
| B/A (%) | 17.5 | 14.3 | 18.9 | 18.6 | 20.7 |
| C/B (%) | 7.3 | 8.5 | 10.9 | 10.2 | 11.1 |

Taking into consideration the burden of such expenditures as defense and economic development upon the General Budget, the percentage of the budget for education is by no means a small one. The composition of the Budget for education during the last ten years reveals that expenditures on higher education have been increasing, although the rate of increase is far below that of expenditures for middle and high schools.

During the period from 1945 to 1981, the number of elementary school students has increased by four times, that of middle and high school students by fifty times and that of university and college students by a hundred times. Increases in expenditures for higher education, however, have not kept pace with such a rate of student increases. The ratio of expenditures for higher education to the overall budget for education has been maintained at the level of about 10% during the past several years, which is far below the international average ratio of about 20%, or of Japan's 18.4% and of the United States' 35%. The percentage of expenditures for higher education to the overall expenditures for public education in Korea could be among the lowest in the world.

**B. Meagerness of Per Capita Public Education Expenditures**

The low ratio of overall expenditure for education to G.N.P. and the lower percentage of its distribution to higher education result in the meagerness of per-capita public education expenditure for students, the level of which serves as an indicator of the quality of education. In 1979, per-capita public education expenditure for students in Korea was no more than $1,276, which is far below the level of over $3,000 spent by the advanced countries of the world. Similarly, per-capita expenditure for professors was about $13,000 which is again far below the average spendings of $79,000 by thirteen leading universities in the world. Since 1970, however, per-capita public education expenditure for students has been increasing steadily, although the range of the increase remains at a meager rate of 220% in elementary education and of 120% in middle and high school education. As the weakness in the composition of public education expenditures for higher education is closely associated with its quality, there is a pressing need to find a new approach to the distribution of financial resources for education.

**C. Financial Insecurities in Private Education Foundations and Excessive Burden of Expenses on Students.**

Except in the case of elementary schools, dependency upon student fees is extremely high in Korea. This is particularly true of private universities where students bear upon 84.6% of the total expenditure, leaving only 7.2% for foundations and 8.2% for other sources of support.

**Table 2. Financial Resources of Private Universities**

| | Student | Government Support, Foundation and other Sources |
|---|---|---|
| Korea (1979 average) | 84.6 % | 15.4 % |
| Japan (1976 average) | 38.2 | 61.8 |
| U.S.A. (1976 average) | 33.4 | 66.6 |

**Table 3. Composition of Financial Resources for Higher Education (1979)**

| | Total | Government Support | Students | Foundations | Others |
|---|---|---|---|---|---|
| Public | 117,607.4 | 75.89 | 18.62 | — | 5.49 |
| Private | 189,910.1 | — | 86.06 | 6.85 | 7.09 |
| Total | 307,517.5 | 29.03 | 60.27 | 4.22 | 6.48' |
| | million won | | % | | |

In the case of private universities in Japan, students bear only 38.2% of the total expenditure and 10.7% of the remaining expenditure is met by contributions, 12.0% by subsidies and 20.0% by profits from business operations of university foundations. In the case of private universities in the U.S.A, students' share of the entire expenses represents only 33.4%. In Korea, however, dependency upon student fees is extremely high and is a major factor beclouding the concept of education as a public undertaking.

Many factors could be responsible for the fragility of the foundations of private educational institutions: in sufficient basic assets, absence of manufacturing or other productive assets, dependence upon land and other real estates which have low profitability, lack of tax concessions to the properties donated to such educational institutions (the present rate of levy is 20%), and inappropriate managerial policies and bad management in these private institutions.

Private universities face more serious financial problems than public colleges or universities. For instance, the ratio of the number of students at public and private college and universities in 1979 was 29 to 71 whereas that of the expenditures was 41 to 59, revealing a severe imbalance between the two.

This 12% shortage of expenditures in comparison with the number of students in private institutions as compared with public institutions reveals the difficulties that private institutions are faced with in providing high quality education to their students. At these higher educational institutions, admission fees, association fees, tuitions, and expenses for laboratory work are the four main items of expenses which students bear and together they make up 97.5% of the students' total expenses. This is another reason why there is a greater need for the Government to provide some form of financial assistance to these private higher educational institutions for, as long as they depend upon the registration fees of their students for their financial resources as they are doing today, these institutions would find it difficult to improve the quality of their higher education in any significant way.

## III. Task of Improving the Financial Situation of Higher Education

Scarcity of financial resources, weaknesses in the structure of financing, excessive burdens on students for schooling expenses, wide differences in various fees between public and private institutions, ambiguous standard of distribution of expenditures for education, imbalance in the structure of educational expenditures etc. are pointed out as serious financial problems facing higher education in Korea. Of these problems, means of expanding the scale of financing and of diversifying its resources are the problems which have greater priority and require special attention.

### A. Expansion of the Scale of Financing for Higher Education

Taking 1981 as a base year, the percentage of budget for education to the General Government Budget stands at 18.6%, representing 4% of G.N.P. Of this, only 10.2% was allocated to higher education. Therefore, greater increases in the budget for education in general and for higher education in particular are urgently required.

Although increases in the budget for education have to be limited to a certain level due to requirements for national defense and economic development, there seems to emerge a growing recognition among policy planners that long-term investments in education, and in higher education in particular, are essential for the Korean economy and society to maintain their international

competitiveness.

According to the Long-term Plan of the Government, the percentage of public education expenditures to G.N.P. will be increased to 6% level, a level maintained in the advanced countries of the world. The percentage of budget for education to G.N.P. will be maintained at 5% and that of budget on education to General Government Budget at the level of 20%.

**Table 4. Indices of Investments in Education (1981 – 1991)**

| | 1981 | 1986 | 1991 |
|---|---|---|---|
| Government Budget/G.N.P. (%) | 20.50 | 22.29 | 24.35 |
| Public Education Expenditures/ G.N.P. (%) | 8.64 | 7.75 | 6.33 |
| Public Education Expenditures on Higher Education/G.N.P. (%) | 0.79 | 0.93 | 1.14 |
| Budget on Education/G.N.P. (%) | 4.85 | 5.69 | 4.95 |
| Budget on Education/General Government Budget (%) | 18.60 | 25.53 | 20.33 |
| Population that Received Higher Education (per 10,000 persons) | 87.05 | 118.39 | 164.22 |
| No. of Scientists and Technicians (per 10,000 technicians) | 93.12 | 128.16 | 174.42 |
| No. of Students Receiving Higher Education (per 10,000 persons) | 676 | 987 | 1,249 |
| Per-capita Educational Expenses for Students Receiving Higher Education ($) | 596 | 938 | 1,606 |
| Public Educational Expenditures for Higher Education ($100 million) | 4 | 9 | 20 |

When the Long-term Plan of the Ministry of Education is implemented successfully, the structure of education and the financial structure of higher education in Korea in 1991 will approach close to the patterns now maintained in the U.S.A., Sweden, Britain and other advanced countries.

**B. Financing Programs for Higher Education**

In view of the enormity of its requirement, financial resources for education must be derived from as many diversified sources as possible in order to ensure flexibility of financing and to reduce the risks which entail financial problems. Some of the approaches referred to below are already being implemented, while others are in the process of deliberation.

**1. Improvements in the System of Registration Fees**

At present, the level of registration fees charged by public and private colleges differs widely. The fees charged by private institutions, though they vary from one institution to another, are generally two to three times higher than those charged by public institutions. This situation must be ameliorated to prevent yet another inequality between these two institutions. The Government has been planning to gradually raise the registration fees of the public colleges and universities and started to implement the plan in 1982, although the size of the raise was in no way significant. If the registration fees of the public institutions were to be raised to the level of private institutions, it will ensure an additional annual financial income of 74.6 billion won. This additional resource could be reinvested to redress the imbalance among educational institutions and to improve their qualities by utilizing it for scholarships to students and for research funds for professors etc.

The improvement of imbalances in the structure of registration fees must be carried out by gradual reajustment. The use of financial resources accrued from the raise in the registration fees of public educational institutions should be governed by the provisions of relevant laws and regulations.

**2. Establishment of Special Fund for Development of Higher Education.**

In view of the existing restraints in the system of Government budget operations that hinder investments necessary for qualitative improvement of higher education, the establishment of a special fund designed for development of higher education is a program which needs to be realized without any loss of time. The special fund should be established within a period of ten years and in an order of 200 billion won. The fund may be made up of contributions, for example, from the Government (50%), transfer of part of registration fees to be increased by public educational institutions (20%), investments by institu-

tions of higher education themselves, and by donations from business and civil organizations (10%). As an incentive to participation by private business interests, appropriate tax concessions (e.g., allowing tax deductible expenditure) may be granted for the amount donated by them.

The fund thus established would be used to raise the quality of higher education by providing assistance to research works of faculty members and scholarships to students as well as by giving assistance to higher educational institutions themselves, particularly to those institutions which may be caught in temporary financial difficulties. When the fund is set on its right direction, such projects as managed by the Ministry of Education — Government scholarship programs for overseas students, overseas research works by professors and subsidies to academic researches etc. — shall be transferred to the fund.

### 3. Enactment of Law Concerning Assistance to Private Educational Institutions.

Private educational institutions do not receive any adequate Government support in spite of important contributions they have been making to education in Korea. Instead, they suffer from certain disadvantages as compared with public institutions. For private institutions to grow and develop, financial stability must first be achieved. Reliance of their financial resources on registration fees has reached its limit and therefore new means of coping with financial problems must be sought. Any justification for enactment of a new law defining responsibility of the State to assist private educational institutions and specifying the provisions of assistance lies precisely in such financial difficulties. The proposed law concerning assistance to private educational institutions should include, among others:

i) a provision specifying the characteristics and procedures for payment of subsidies and responsibilities of the institutions for the subsidies.

ii) a provision granting tax concessions for assets owned by educational foundations and for incomes accrued therefrom, and specifying the transfer of the incomes to educational institutions to meet their expenditures.

iii) a provision permitting individuals or business interests to make financial contributions to private institutions and granting tax cocessions to such contributions. (contributions with tax benefits by individuals

or by business interests are being prohibited at present because of possible adverse social effects.)

**4. A Provision Concerning Issuance of Long-term Education Bond**

The proposed Long-term Education Bond must be dealt with and be examined as part of social security system, for investments in education do not usually produce quick results and it is the following generations who benefit mostly from the investments. There may be different methods and techniques of issuing the bond; it must, however, be issued under the condition of national consensus and participation.

**5. Flexible Management of Education Tax and Collection System**

The education Tax, newly enacted in 1982, does not sufficiently serve the purpose of augmenting financial resources for education because of the provisions limiting the scope and the use of the levies. At present, a fixed percentage of excise taxes on cigarettes and alcoholic liquors and a fixed percentage of interests accrued from banks and insurance companies are leveied as part of the tax. The revenue from the tax is expected to fall short of 280 billion won contemplated in the budget. It may therefore be necessary to widen and diversify the sources and seek a flexible management of the tax in order to have resilience against possible economic slow-down or changes in the pattern of national consumption.

The financial resources to be drawn from the Education Tax and Education Bond are not solely for the financing of higher education. Since the stability in the financing situation of education in general will also help stabilize financing problems facing higher education, plannings for financial arrangements of each sector of education must be co-ordinated.

**C. Fair Distribution and Effective Management of Financial Resources**

The most desirable means of stabilizing the administration of the budget for education would be to allocate more than 20% of the general government budget for education by special provisions of law. This, however, has never been realized nor in there any prospect for its early realization due to the concern that it may further reduce flexibility in the management of the budget. In the process of the budget allocation, education normally has to concede

priority to other government agencies when any unexpected political or economic problems or any circumstantial changes develop. In the 1950's, education was allocated less than 10% of the totai government budget and in the 60's and 70's the proportion of budget for education ranged from 12 to 17%. It was only in the 1980's that the percentage was maintained at a fairly stable level of between 18–20%.

The expenditures for higher education also attained a relative stability in the 1980's. Throughout the 60's and 70's, the expenditures for higher education represented only 12% at the highest and 5% at the lowest, showing a severe undulation. Again, it was only in the 1980's that higher education came to receive a steady allocation of over 10% of the overall budget for education.

Though this trend of stable allocation for higher education could be expected to continue, the low percentage of allocation itself remains a problem. For the year 1975, for example, the world average rate of allocation for higher education from the overall budget for public education stands at 19.4%, and the allocation percentage for facilities and equipment was as high as 26.1%. Compared to the above world average figures, the level of 10% in Korea is far too inadequate. Higher education in Korea therefore may be faced with many difficulties unless the above rate of 10% be raised to the level of at least 15% within the next few years.

The current trend in this rate of budget allocation for higher education in the world is on the gradual increase. In Korea too, the per-capita public expenditures for higher education for students and for professors have been gradually increasing since 1970 but at a level far below those of the advanced countries.

Imbalance in the allocation of public education expenditures between public and private institutions for higher education has to be rectified. In 1979, the ratio of per-capita public education expenditures between public and private universities and colleges stood at 62 to 38. This leads to an inevitable conclusion that most private institutions would be able to provide only a low quality education. The ideal approach for solution of this imbalance would be to regulate the allocation of expenditures in proportion to the number of students registered at each institution.

The composition of public education expenditures reveals, as has been seen before, that dependence upon fees is too high. Compared with Japan's

23% and the U.S.A.'s 21%, Korea has a dependency rate of 60% and, in the case of private institutions, it goes up to as high as 86%. Therefore the reduction of this percentage to 30 to 40% level within the next ten years should be one of the policy guidlines concerning education.

Another problem which requires attention relates to the read-justment of structural imbalance in the expenditures for higher education. Of the total expenditures for higher education in 1979, 37.33% was spent on personnel, 41.51% on management and 21.6% on facilities and equipment. The percentage of expenditures for personnel therefore is far too inadequate when compared with 53–64% in Japan and 70–78% in Britain and similar percentage spent in the U.S.A. Considering that the treatment of the faculty, including support of research work, could have a direct effect on the quality of education, higher education can no longer rely their management on inadequately low remunerations of their teaching staff. Therefore, adjustments towards increasing the percentage share of expenses for personnels, together with adequate differentiation in the treatment according to ranks and responsibilities should be made. These adjustments should be reflected in scholar-ships and research funds.

The allocation of expenditures, however ideally worked out, alone cannot insure high efficiency unless it is logically and soundly managed. One of the inherent characteristics of higher education is the pursuit of reason. In the short history of higher education in Korea, there have been at times occasions when reason has not always prevailed. The basic framework of management depends upon the financial structure of the institution; the degree of efficiency, however, does not necessarily follow the level of investments or the scale of financing, as the Korean experience shows. What is equally important is a number of co-related functional elements or other process variables such as leadership and scientific management, etc.

## IV. Prospects of Financing for Higher Education in Korea

### A. Favorable Factors Serving as Accelerators for Development

Three factors can be cited to support an optimistic outlook that financial resources for education in general, and for higher education in particular, can be secured and managed effectively as contemplated in the Long-term Development Plan.

Firstly, a sustained growth of the national economy could be counted on. The Korean economy has continued to register growth, though at a lower rate than before, even under the recessionary mood of the world economy since the oil shock of 1973. It is expected that the Korean economy will embark upon another stage of dynamic development when the world economy recovers from its current recession and moves into a new stage of reactivation. In spite of its high growth rate, the smallness of the scale of the economy has made it difficult to gain sufficient resources necessary for aggressive investment in education nor have there been many visible results. It is anticipated that the scale of the national economy towards the end of the 1980's will be nearly

**Table 5. Selected Major Indices of the Long-term Economic Development Plan**

| | Unit | 1980 | 1986 | 1991 | Rate of Annual Increases (average %) 82–86 | 87–91 |
|---|---|---|---|---|---|---|
| G.N.P. (1980 constant value) | Trillion won | 35.0 | 53.7 | 75.3 | 7.6 | 7.0 |
| | 100 million $ | 574 | 900 | 1,234 | 7.6 | 7.0 |
| Population | Million | 38.1 | 41.8 | 44.9 | 1.6 | 1.4 |
| Per-capita G.N.P. (1980 constant value) | 1,000 won | 919 | 1,283 | 1,678 | 5.9 | 5.5 |
| | $ | 1,506 | 2,170 | 2,751 | 5.9 | 5.5 |
| Export (current value) | 100 million $ | 172 | 530 | 1,250 | 11.4 | 10.0 |
| Import (current value) | 100 million $ | 216 | 555 | 1,200 | 8.4 | 8.0 |
| Ratio of students receiving higher education in that age group | % | 15.8 | 21.2 | | | |
| Rate of Expansion of Scholarship | % | 8.4 | 30 | | | |
| Investment in Education | % | 17.0* | 21.2** | | | |

*77–81 Average
**82–86 Average

the double the size of that of the early 1980's. Therefore, the percentage of budget for education in the general budget of the government, fixed at an average rate of 21.2% for the period 1982 – 1986, will have a new meaning as compared with the percentage allocated to education in the 1970's.

Secondly, the Government's will to enhance education, consistently sustained since the founding of the Republic in 1948, could be cited as another factor in further development. The Government policy on education since 1945 gives an ample proof of the efforts made for educational development under difficult circumstances both within and without the nation. For instance, the number of elementary schools increased from 2,834 in 1945 to 6,487 in 1981. The number of middle schools too rose from 155 to 3,474 and the number of institutions for higher education from 19 to 236 during the same period. The expansion of higher education is all the more conspicuous and when the number of registered students is taken as basis, the quantitative increase reached an enormous proportion compared with the figure in 1945. Looking at these trends, then, it is not too much to look forward to continued growth, both quantitative and qualitative, of education in the future.

Thirdly, national zeal for education, deeply rooted in the Korean people, could be mentioned as another factor. Even under the colossal casualities and destruction the nation suffered during the Korean War, reconstruction of educational facilities took precedence over others excepting only national defense, and the citizens showed themselves willing to bear the heavy burdens of educational expenditures in spite of the financial difficulties they suffered from. This zeal for education served as an invisible asset for development of education. When the efforts of the Government to secure financial resources for higher education and zeal of the citizens are well co-ordinated, then the prospect for its development could well be said optimistic.

**B. Uncertain Factors as Hinderances to Development**

Not all the circumstantial elements justify on optimistic outlook for development. The division of the country into two halves is a factor which can cause many problems of uncertainy in all political, social and economic spheres. When tension rises between the South and North of Korea, its impact is immediately felt throughout the national life and investment in education, whether, governmental or private, too becomes affected by such political pressures.

In extreme cases, when such tension rides high, financing for higher education finds itself more severely affected than that of elementary or middle and high school education.

In a broader sense, however, factors of uncertainty are derived from a rather uncertain prospect of the world economy as a whole. For a country like Korea whose export-oriented pattern of economy is linked closely and therefore reacts more keenly to the changes in the external economy, disturbances in stability in the world economy can seriously affect investment in education through pressures brought upon the Korean economy as a whole. Under such circumstances, then, it could be assumed that long-term investment for higher education would have to be withheld.

Another factor of hinderance in the development of higher education is the heavy burden of expenses put upon individual students – a situation which to some seems already to have become unendurable. As has been seen before, the percentage share by students of the overall public expenditures for education stands at 45%. This percentage is as much as 63% when private expenditures for education are added. As further increases in the registration fees for colleges and universities are expected during the next few years, higher education may be pressed into a serious crisis unless drastic measures for a new evolution are introduced. When it becomes no longer possible for middle and lower classes to send their children to higher educational institutions, then the equality of opportunity for higher education would be lost. This would not only be detrimental to the balanced development of the society but could also provoke widespread discontent eventually leading to social unrest.

Taking these factors for favorable and uncertain development of education into consideration, there is no doubt that the 1980's will be one of the most important decades for the future of education in Korea.

## V. Conclusion

The above presentation does not presume to have given an exhaustive discussion of the financial situation of higher education in Korea. The issues untouched upon include those concerning: 1) the system of government authorization for the number of graduating students for the number of graduating students for each university, 2) the place of elective subjects in the curric-

ulum operation of the universities, 3) applying the method of educational engineering, 4) rational utilization of existing facilities of the universities, 5) developing inter-university cooperation, 6) promoting cooperative relationship between university and community, and collaboration between university and industry, and 7) maintaining international cooperation among world universities.

All these are issues of wide public interest in Korea, and there are frequent comments on them in the press. Only recently extensive attention was directed by the press to such issues in the situation of Korean universities as the system of government authorization for the number of graduating students, problems of under-staffed faculty and various accompanying financial problems facing the universities of the nation. Thus, the syndrome of financial difficulties has come to enter the center of public controversy.

Developing higher education means not simply quantitative expansion but qualitative change in objectives, functions, organization, structural arrangement and in the methods of instruction. In this period of rapid historical change, universities must adjust to new challenges and justify their reason for existence in terms of valid educational objectives. In order to do so, they must reexamine and renew their objectives, in addition to expanding the scale of their operations, so that they may effect substantive and meaningful reform. Reform of the universities is a total social process in which universities experience self-renewal while being guided by new ideals and interacting with relevant social and cultural factors. It must aim to develop into a long-term cooperative program, arbitrating the conflicts of conservative forces and progressive energy and seeking harmony in these conflicts to achieve positive development.

My hope is that our higher education will overcome the present syndrome of financial difficulties with wise deliberation, make steady progress, keeping pace with the international trend of development in higher education, and arrive at a position from which we will be able to contribute positively to Korean society and also to world culture.

# HIGHER EDUCATION IN THE AGE OF FINANCIAL DIFFICULTIES

PAUL L. DRESSEL*

Financial difficulties, or other exigencies, obviously create problems for higher education. To a large extent, however, exigency only identifies and magnifies existing institutional weaknesses and deficiencies. Hence I shall begin my treatment of this topic by presenting three distinctive views against which the plight of higher education in exigency can be considered. The three views may be labeled as the *institutional*, the *realistic*, and the *idealistic*. The designations and characterizations are my own developed out of some fifty years of observing higher education — primarily but not solely in the U.S.A.

The institutional (faculty and administrative) view of financial exigencies in higher education is that their occurrence reflects *both* economic and social problems coupled with a misplaced sense of values. The conception of misplaced values results from the conviction that support of higher education is essential for the future both in resolving immediate problems and in educating individuals who will avoid them in the future. Reductions in funding force decline in higher education and threaten (but never, by admission, actually reduce or destroy) quality. Decline is revealed in loss of diversity, creativity, and flexibility. These, in turn, result in loss of morale, threaten entrenched bureaucratic structures, and engender faculty defensiveness and resistance to change. In contrast, in the institutional view, continuing and generous financial support encourages continuing and dynamic expansion involving nes programs and new facilities. Expansion encourages and even generates creativity and risk taking; it supports diversity, autonomy, and academic freedom essential to institutions of higher education. In this view, an institution can never have too much money.

A *realistic* view of exigency in higher education is that recurring periods

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of economic recession or decline are inevitable in any nation and that this fact, conjoined with long-term moves toward a welfare society, will surely result in exigencies in higher education. A realistic view recognizes that increasing financial support does indeed encourage continuing expansion in programs and activities but also recognizes that

- some of the expansion is expedient and opportunistic but unneeded;
- some of the expansion is duplication of programs within and among institutions but this duplication, if acknowledged at all, is justified by enhancing individual opportunity;
- much of the expansion is competitive and reflects aspirations to become more like recognized elite institutions in degree programs, research, and service (*uni*versity rather than *di*versity appears to be the goal);
- courses and programs increase while faculty instructional load decreases by diversion of faculty efforts to other activities.

The realistic view of higher education institutions under periods of continuing generous support admits that

- autonomy is often invoked to support unbridled and opportunistic expansion rather than to fulfill social responsibilities;
- the freedom of expansion encourages incursions into controversial issues and academic freedom becomes interpreted as license to do or say whatever any professor desires;
- both administrative offices and units (disciplinary and research) expand as special interests and increasing paper work demand;
- areas of ineffectiveness and inefficiency are ignored and almost no activity is evaluated.

Hence periods of exigency are seen as essential in that they force institutional reexamination and rededication and, in that process, enforce reconsideration of purposes and goals as well as elimination or combination or reduction in programs, services, and staff.

An *idealistic* view of exigency in higher education is that institutions supported by society and charged with the development of programs and services to educate individuals to optimal personal and social development who then can and will contribute to solution of social problems and to long-term improvement of society should, in their own practices and procedures, exemplify those ways in which society should face and undertake to resolve

its problems. In this idealistic view, then, a university would recognize that continuing growth in size and programs is not inevitable and not even desirable. Planning would allow for and include the flexibility required to deal with unanticipated contingency.

Uncertainty about the future is the one certainty of life. Hence the major purpose of education should be to enable individuals and society to deal effectively with uncertainty. Universities have not does well in this regard. This deficiency should generate serious self-examination. An educational institution should model the behavior and performance that it attempts to inculcate.

**Integrity and Accountability**

I now propose to consider the past performance of universities in the U.S.A. in order to draw from these observations some clues as to how institutions of higher learning might demonstrate responsible behavior to the supporting society and emulate the rational and compassionate behavior necessitated by cataclysmic events.

Universities, in seeking funds, have sought support on the basis of past costs with those costs, in turn, determined largely by revenues. The distinction between marginal costs for program expansion and average costs of programs maintenance have been ignored as likewise has the distinction between fixed and variable costs. High cost has been interpreted as evidence of high quality. Since no measures of quality are provided, any other interpretation would cast doubt on university integrity and management.

State-assisted universities have generally supported a formula approach to legislative fund allocation as a means of assuring predictable funding with minimal impact on internal allocations. However, the disparity between the formula used in acquiring funds and the actual internal allocations made arouses doubts both internally and externally about funding equity and allocation integrity. Moreover, formula funding tends originally to utilize various devices to incorporate long prevailing cost differentials among institutions. By becoming increasingly specific over time, formula funding tends ultimately toward internal budget control. The use of so-called "line item" dollar allocations for positions and functions is the ultimate in control. As funding (whether by formula or otherwise) becomes more specific, institutional autonomy and unit autonomy within the institution becomes increasingly restricted by intervention

into and ultimate control of policies and practices. Recognition of this trend leads to reticence and even deception by institutions in revealing information about institutional operations.

**Justification of Reticence and Deception**

Confidence of the worth of their activities and programs, institutions of higher education fall readily into dubious practices based upon commendable concerns and a measure of self-deception that are easily rationalized into conviction. The fact that the purposes of higher education must surely be pursued by appropriate processes of instruction, research, and service readily becomes a conviction that the ends justify the means and that society is obligated to support the university according to its own definition of needs and of the requirements for meeting them.

The initial and natural reaction of an institution to requests for auditable evidence of responsible performance and accomplishment is likely to include the following points:

- the request for data in itself indicates a lamentable lack of trust and a complete failure to understand the nature of an academic institution;
- the request is an unreasonable intrusion into institutional autonomy and professional judgment and must (as a matter of principle) be resisted;
- collection and/or organization of the requested data is expensive, virtually impossible, and in any case a waste of time since that data is not usable in institutional operations.

Concern about the validity and comparability of data from other institutions and about the uses to which the data will be put are reflected in further suggestions that data manipulation and misinterpretation are inevitable whether by intent or by failure to grasp the complexities involved and the inadequacy of quantification to determine the unique character and needs of institutions.

There is a tendency to regard agencies and individuals who request and use data in determining financial allocations as malicious because the evident intent is to use the data to reduce requests.

This institutional reticence and tendency toward deception are based upon the justified conviction that more precise definitions, more data, and more rigorous auditing procedures lead to loss of institutional autonomy and

to a rigidity that destroys an institution's ability to adjust to changing circumstances. Hence the existence and nature of this flexibility require consideration.

**Flexibility, Autonomy and Discretionary Funds**

The autonomy of an institution is most evident in the extent to which that institution can adjust its activities and programs to changing circumstances. These adjustments include program additions, deletions, and modifications. To the extent that decisions on such changes are curtailed, delayed, or negated, institutional autonomy becomes displaced by control and rigidity. This loss of flexibility is evident when external controls, reinforced by budgetary powers, are imposed. Loss of institutional flexibility is also evident when the institution, by its own policies, is deprived of discretionary funds. Such policies include, for example, unduly high percentages of faculty on tenure and college and departmental budgets based upon continuation of existing activities. Deprived of discretionary funds, the top-level administration of an institution has virtually no way of influencing institutional development. Likewise, units within the university have no funds for innovation or renovation. Thus institutional autonomy is evidenced by flexibility and the maintenance of flexibility depends upon finding some discretionary funds in each year's budget. Maintenance of quality and continuing relevance also depend upon flexibility.

The changing budget request categories of publicly-assisted universities reflect this continuing search for descretionary funds. The elaboration of data requests and of the formulas for allocation of funds are attempts by central agencies to eliminate discretion and thereby achieve control. Some of the budget request categories that have appeared and disappeared in this process are:

- base budget for continuation of existing programs;
- increase based upon more students;
- catchup funds to approach equity with other institutions;
- quality infusion needed to move the institution to a new level of excellence;
- new programs;
- program evaluation and improvement;
- study of and projected increase in productivity;

- incentives or rewards for outstanding performance

If student tuition and fee decisions are not externally specified or implied by public funding allocations, institutions may seek discretionary funds by increases in tuition, by allocation of portions of tuition to purposes other than support of instruction, or by imposition of special fees — health, laboratory, student services, or activities.

By requiring departments and colleges to present budget requests at three levels (for example, 10 percent less than, same, 10 percent more than previous year) central administration could gain some control over unit expansion or contraction and achieve a degree of flexibility in reallocation of funds. The faculty is not likely to be supportive of this practice.

Attempts are made continually to refigure and increase overhead and indirect cost components of contracts and grants, although the discretionary allocative character of these dollars thereby acquired is frequently eroded by prior agreements needed to obtain departmental faculty support. Many faculty members view overhead and indirect cost assessments as exhorbitant and perhaps unjustified taxes upon departmental and faculty enterprise. State supported or assisted institutions gain little by overhead and direct cost increases in that these are likely to be taken into account in determining the amount of support from the state.

Grants (whether from private or public sources) made for specific projects inject momentary flexibility. But such grants tend to phase out over a few years and leave the institution in the difficult position of terminating activity or supporting it from other sources. Thereby special projects, especially when institutionalized by designation as centers, institutes, or other formal designation may become, in the longer term, detrimental to flexibility.

The tendency to fold discretionary allocations of a year into the base budget of the subsequent year makes the search for discretionary funds a continuing and frustrating one. Incentives, awards, or rewards can be offered on a one-time basis but pressures for regularization of this process by rules and by committees soon leads to the continuing commitment of the funds thereby again eliminating much of the discretionary aspect. The intensity of the search for discretionary funds by the administration is matched only by the intensity of the internal search by the faculty to acquire control of them and by the external search of funding agencies to eliminate them. Hence discretionary

funds or exigency reserves are likely to be nonexistent when most needed.

To what extent can discretionary funds be found when a university finds itself in financial difficulties? The answer depends upon plans, practices, and policies and on the willingness of administrators to accept and fulfill their responsibilities. Even so the administration may find few options. These options include:

- recapture of funds from vacated positions,
- reduce or eliminate travel,
- reduce supplies and services expenditures,
- reduce expenditures for library and other academic services,
- deter maintenance, replacement, and repair,
- defer capital expenditures and use these funds for other purposes.

These measures are opportunistic but feasible and that may be their only justification. They are likely to involve inequities and they may have long-term weakening and demoralizing impacts that are unrecognized or ignored. Furthermore, the total funds captured by these procedures will not meet the needs in a real exigency. The basic assumption of the opportunistic approach is that the emergency will quickly pass and unhampered growth will resume.

**Desirable Impacts of Financial Exigency**

If one believes that unhampered growth is conducive neither to beauty, effectiveness, or integrity, then occasional financial exigency can be regarded as desirable as well as inevitable. For desirable impact, the nature and means of achieving these impacts must be identified. It is also desirable that this be done in advance of an actual exigency, for prospects of immediate deprivation are more likely to beget anxiety and rage than rational behavior. Nevertheless, rightly used, exigency can unify an institution and improve its quality by:

- reviewing purposes, resetting priorities, and distinguishing among essential, desirable, and unneeded or wasteful programs and practices;
- reviewing and redefining organizational and staff roles and distinctions to identify the unessential;
- recouping centrally and refilling selectively (or not at all) open positions of all types;
- reviewing course and curricular offerings to eliminate unneeded courses

and programs and to maintain or increase class size;

- reviewing and possibly reducing degree requirements, laboratory requirements, and specific course and credit requirements to increase over time in order to avoid critical decisions about elimination or reduction of existing requirements;
- reviewing and adjusting faculty teaching loads which tend to decrease uniformly within units rather than selectively with individuals in times when funds are readily available.
- deferring and imposing tight controls or specific limits on promotion and tenure.

These measures, unlike the more expedient ones of delaying capital expenditures, deferring maintenance, replacements or new purchases, relate directly to the long-term purposes, immediate goals, and the basic character of the institution. The readily expedient measures may serve in short-term exigencies such as cash flow problems, but they do nothing to correct or prevent and may even facilitate the long-time drift of an institution away from its fundamental societal purposes. This adverse drift, too, is abetted by the efforts of those associated with an institution to achieve personal distinction and career aspirations by directing the institution to their own ends.

A college or university is an agency to provide services to society and to achieve social goals. It is not (or at least should not be) a refuge for the lazy, the inept, or the idiosyncratics who contribute little, deny students their due, and detract from the efforts of their colleagues and the reputation of the institution. I do not assert that this group constitutes a large segment of higher education personnel or that the situation is any worse in universities than in government, business, or elsewhere. I do insist that in the nature of the higher education enterprise both as a model and as a molder of individuals and society, continuing charity to the lazy, the inept, and the unproductive idiosyncratic is socially irresponsible and educationally deleterious.

Although many individuals associated with and interested in higher education recognize the need for recurrent renewal and commitment within and among institutions of higher education, it is difficult, indeed almost impossible, to achieve unity and maintain amity in conduct of institutional renewal and recommitment whether in "normal" circumstances or under exigency. It is appropriate to consider why this is so.

In the U.S.A. at least, I believe that a significant aspect of the exigency faced by higher education is a loss of confidence in the integrity of the enterprise. Neither in its commitment to fundamental purposes nor in its industry and effectiveness in pursuit of those purposes is higher education well regarded. The continuing insistence by many apologists and proponents of higher education that the numerous cases of misfeasance (error), malfeasance (wrong doing), and nonfeasance (inaction) in use of funds, in shoddy performance, and in opportunistic management constitute such a small proportion of the total operations as to be negligible does not generate confidence. And the apparent contention of many of these same apologists and proponents that the only real problem in American higher education is a lack of adequate funding savors something of a coverup by misdirection rather than an openness that should characterize higher education. When in addition, in the face of national exigency higher education unites in opposition to any reduction or even to lack of increase in funds that directly or indirectly support higher education, the thoughful individual must surely wonder if the fundamental social responsibilities and obligations of higher education have been supplanted by self-serving individual and institutional aspirations and ready acceptance of any means that offer possibility of achieving them.

Within our institutions of higher education there is an unwillingness to forthrightly face exigency and to consider and formulate policy to deal with it. Too many administrators prefer "peace in our time" and hence ignore or deal piecemeal with difficulties hoping that these will either disappear or can at least be deferred for action by a successor. Exigency is deeply disturbing to the administrator who would reign rather than rule or direct.

**Difficulties in Planning**

Attempts at planning in institutions of higher education seldom contemplate exigency or even acknowledge the possibility. Planning is viewed as a means of promoting orderly growth and development and of avoiding exigency. Basic assumptions undergirding planning reflect optimism. Even so, universities and colleges find planning a difficult task. The essence of planning is that certain goals are accepted and others are denied. In any statement of priorities, some items are placed lower than others. Complete uncertainty which permits individual fantasy is supplanted by statements of goals deemed both practicable

and institutionally and socially desirable. There are those who prefer their fantasies. Accordingly, attempts in planning that would explicitly provide for future exigency engender an immediate exigency that is upsetting to that faculty and generates organized opposition. This opposition is based in some part upon suspicion of the motivations of those who support measures to retain flexibility and hence capacity to deal with exigency. The opposition also arises out of the fact that retention of flexibility (whether in the form of reserve funds, designation of low priority programs, or restrictions on promotion and tenure) constitute for some an inequitious denial of deserved And anticipated recognition. Phasing out of unneeded programs as a part of long-term planning is even more difficult than elimination under exigency.

There are two additional factors that make planning for exigency a task for individuals and institutions. Planning requires time and extensive involvement of individuals and groups employed by or interested in an institution. A plan becomes a public document for extensive discussion and criticism and a possible generation of actions or decisions by other agencies. A state budget office or legislature noting an institution's contingency plan for dealing with exigency may view this admission of this possibility as a basis for reduction in the allocation to the institution in order to acquire funds for other purposes. Public admission that an institution could operate with reduced support may become self-validating prophecy.

The second factor operative in recent years is made apparent in the many ways in which what were formerly entirely internal decisions of departments or colleges within institutions of higher education have become subject to appeal, review, and reversal by internal appeal committees or offices, by federal agencies, by courts, and by provisions of union contracts. In addition, there are external pressures from state coordinating or control agencies, officials, legislators, alumni, and business. The availability of various referral and delay mechanisms within the governance organization of a university, the numerous and various appeal possibilities render attempts at either formulation of policies to deal with possible crises or prompt action in actual crises difficult and, in some cases, impossible. The time required and the tactics necessary to achieve acceptance of appropriate actions cause many institutions and administrators in them to avoid the wasteful, demeaning, and even insulting procedures required and their subsequent implications by doing only what can be done

expediently. Program elimination or termination of faculty members can lead to such complications that the easiest and perhaps even most efficient resolution is to avoid such decisions.

Deferred expenditures and aborted plans are the most common response to exigency. This is surely something less than we have a right to expect from what should be the model of rational and wise planning and decision making in a democratic society. This failure has led to ever increasing infringement upon the autonomy of institutions of higher education, but these interventions, well based and well meaning though they be, are conducted in ways and against such resistance that they do not augur well for the return of higher education to the portion of respect once granted it because of responsible performance and demonstrated integrity. There is a price to be paid for becoming a large enterprise and, in so doing, also becoming relatively unselective in respect to students, faculty, and program. The price is that the institution becomes irresponsive to societal exectations, lacks adequate control and management, and displays many of the undesirable characteristics and motivations of other societal organizations and agencies that higher education should critique and seek to improve.

The promise and the commitment of higher education have long been to the future of society. At the moment it appears that many institutions of higher education are in the hands of those who seek immediate personal gratification. Perhaps this only reflects a society and a nation which have lost confidence in traditional values and, in the face of an uncertain future, would mortgage that future and those involved in it for the alleviation of the problems and inequities of the present. The distinct possibility that in so doing we should create more complex and irresolvable problems and inequities for posterity seems to be of limited concern. Uncontrolled inflation, increasing indebtedness, and irresponsible use of limited natural resources are examples that make it uncertain whether higher education has brought its exigencies upon itself or is only a victim of more pervasive human ineptitude.

It is my conviction that the true quality and character of a university emerges only under difficulty. Administrative leadership is a major factor, for neither faculty members nor governing boards can be supportive unless appropriate directions and actions and forthcoming. Exigency can be the basis for return to consideration of fundamental purposes and obligations

in reference to present circumstances and future needs, but it is unlikely to serve this possibility unless:

- the prospect of exigency is admitted and taken into account in planning;
- sufficient flexibility is maintained that an institution can reduce or eliminate activities that are not of high priority;
- some confidence can be generated that, with renewed commitment to institutional purposes and social responsibilities, the institution can emerge from the experience with as much or more unity, direction, and dynamism than it previously exhibited.

Unless these considerations are evident, exigency creates a general malaise and a survival mood by which an institution loses sense of purpose, unity of spirit, and quality of programs. The educational institution that, in the face of exigency, seeks only to survive probably should not.

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